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ABSTRACT

Reported is the development of the Connecticut state plan to assess the needs of the developmentally disabled and establish service priorities. An overview of the planning system includes information on planning processes and the model components including needs assessment, priority setting, program development and selection, program approval, and program implementation. Described in the section on needs assessment are developed of 3- and 1-year priority statements based on data collection and analysis and preparation of an assessment report. The priority setting process is seen to involve ranking and voting by council members of identified needs to determine high, middle, and low priority categories. Changes are proposed for the grant application system to include planning and evaluation components. Recommendations are given in the areas of comprehensive planning, needs assessment, priority setting, and project management including exploring cooperative funding for projects and offering grants for a variety of purposes. Appended is the author's vitae and various forms used in the planning process. (DB)

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PLANNING FOR CONNECTICUT'S DEVELOPMENTALLY DISABLED

A Report

by

DR. DAVID E. WEISCHADLE

U S DEPARTMENT OF HEALTH, EDUCATION & WELFARE
NATIONAL INSTITUTE OF EDUCATION

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This report was prepared for the Connecticut Developmental Disabilities Planning and Advisory Council through the auspices of the Developmental Disabilities Technical Assistance (DDTA) System, a division of the Frank Porter Graham Child Development Center, University of North Carolina, Chapel Hill, North Carolina, under a grant from the US Department of Health, Education, and Welfare.

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March 1975

EC 080 499

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I. Introduction

The purpose of this report is to detail the systems designed at the request of the Connecticut Developmental Disabilities Planning and Advisory Council. Appointed by the Governor, the Council was established in 1970 and funded under the Developmental Disabilities Act of 1970 (P. L. 91-517). Since that time, the Council has operated a dynamic program aimed at Connecticut citizens afflicted with handicapped conditions or substantial impairments, including mental retardation, autism, epilepsy, and cerebral palsy. To date, the Council has awarded grants totaling almost $1 million.

Desirous of maintaining a sound program, the Council charged its director with launching a program effort to develop a means to assess the needs of the developmentally disabled and establish priorities reflecting those needs. The director and a special ad hoc committee sought the assistance of the Developmental Disabilities Technical Assistance System (DDTA), a division of the Frank Porter Graham Child Development Center, located at the University of North Carolina, Chapel Hill, North Carolina. DDTA, funded under a federal grant, was designed to develop and deliver technical assistance in the areas of program planning, program evaluation, developmental disabilities information and media resources to the staffs of the state and territorial Developmental Disabilities Councils.

In early December 1974, a meeting of the ad hoc committee resulted in the establishment of the following work plan:

Phase I: Data gathering and presentation of overview of intended recommendations

Phase II: Design component systems

Phase III: Refinement and submission of final report.

During the months of January and February, a series of meetings were held with this consultant, representing DDTA System, and various Council members, Council staff, and staff from the Office of Mental Retardation, Connecticut Department of Health. The following is a partial listing:

January 10 - Evaluation Committee, Connecticut Developmental Disabilities Council, Mr. Daniel O'Connell (Director) and staff.

January 21 - Council Meeting -- full council membership; Mr. O'Connell and staff; Mr. Robert Briggs, Regional DHEW Office; and Mr. David Berdon, chairman, Connecticut Council.

February 3 - Mr. Gareth Thorne, Deputy Commissioner, Office of Mental Retardation, State Department of Health; and Ms. Lyn Gravink, Director, Program Services Division, Office of Mental Retardation, State Department of Health.

At these various meetings, and other informal conferences, data was collected as prescribed in Phase I. Upon completion of that phase, this consultant proceded to develop a system to identify needs and establish priorities. At the same time, attention was focused on project funding, the application process, and possible monitoring procedures. In doing so, several constraints were identified as being important.

Constraints

In collecting data, several substantial constraints were identified which were to have an impact on the work to be performed for the Council. These constraints, however, are not of such significance as to prevent staff and Council from achieving their objectives in terms of the stated tasks. The constraints are influential in terms of the level of detail and the general character of the system designed. In general, the system developed had to be: 1) oriented toward the practical; 2) manual in operation; and 3) conforming to the time lines of the grant making process.

Practical. The designed system reflects the following constraints:

1. Availability of a small staff. Indications were that the staff is currently working hard and full time in Council business. No additional staff would be available.
2. Council members were active in all affairs related to the work of the Council. Their varied backgrounds, and busy schedules, would not allow for utilization of a system overly complicated and time consuming.

Hence, any system to be designed had to incorporate only slight additions to future work loads. Essential was the channeling of current activities into the system. No additional training of staff and little additional time commitment of Council members were also considerations.

Manual. The system developed had to be manual in nature, utilizing almost no electronic data processing (EDP). However, any system developed had to be of such a nature to allow eventual use of computers at various stages. Hence, the system designed is constrained in terms of the following:

1. The utilization of available staff to collect data, analyze it, and generate reports.
2. The imperfect nature of manual collection and storage of data in a format that is readily retrievable.

3. The "trade-off" of collecting less (but manageable) data and utilizing it more vs. collecting masses (but unwieldy) of data and then trying to sieve through it.

Time. Not surprisingly, time is an important constraint, particularly when considered in terms of the grant making process. If the Council's work is to be planned uniformly (and it should), then the general function of the Council and the grant process should compliment each other; i.e., the projects funded should help carry out the priorities, goals, and objectives of the Council. Hence, the system designed reflects the following:

1. All components of the system must operate on an annual basis so that grants can be awarded prior to July 1 each year.
2. Once the grants are awarded, the annual cycle begins once again, collecting data and making initial analysis.

Implementation

This report describes in detail the comprehensive system designed to assess needs and set priorities. The system was de-

signed based on the above inputs and constraints. It represents the thoughts and ideas of many people associated with the Connecticut Developmental Disabilities Council. The task ahead is the implementation of the system designed herein. That implementation, however, must be based on a careful study of this report and much additional planning. Frankly, this document is the first step (and perhaps the easiest) in a long effort, involving a great deal of work for both Council and staff. The benefits to be gained, I believe, will justify that effort.

II. A Comprehensive Planning System for Connecticut's Developmentally Disabled: An Overview

Overview

The Connecticut Developmental Disabilities Planning and Advisory Council represents a fine example of personally dedicated citizens carrying their charges in a highly responsible and capable fashion. This fact, along with a competent staff, now enables the Council to launch a comprehensive planning system, utilizing both practical and technical features. The system developed to respond to the Council's wishes is one that involves a process which will insure:

1. an annual assessment of the needs of Connecticut's developmentally disabled;
2. the establishment of priorities by the Council;
3. the development and selection of programs and projects to meet those needs; and
4. the implementation of those programs and projects in an effective and responsible manner.

The following chart shows both the flow and the stages of the comprehensive planning system being proposed. In addition, the chart is annotated by seasonal time periods to show when during the year the various stages should take place.

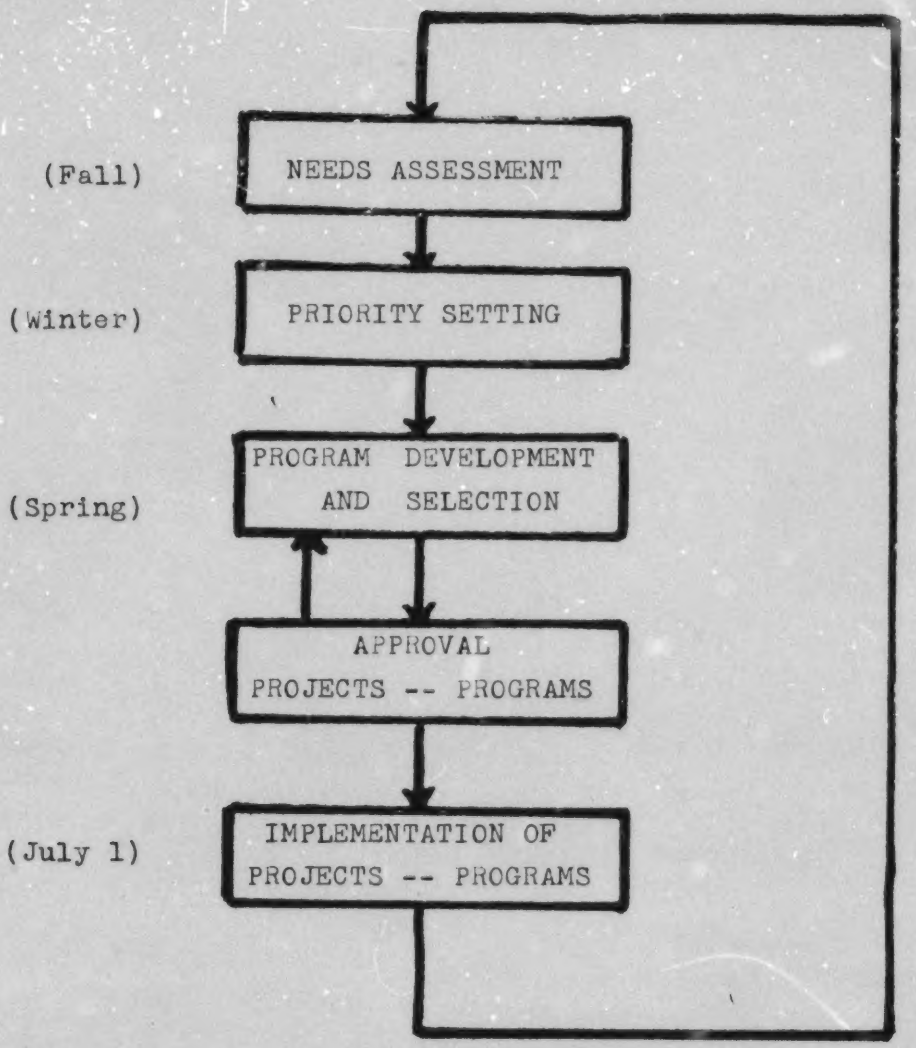

Chart I -- A Comprehensive Planning System for the Connecticut Developmental Disabilities Planning and Advisory Council.

The proposed planning system involves several important concepts. They are:

Annual cycle. Each year the Council will go through the system. The first year, the Council will identify needs and establish priorities. The following years will involve an up-date or refinement. Newly implemented programs will become part of future assessments.

Multi-year planning. The annual process allows for multi-year planning, which is particularly important for the grant award effort. For example, an award of a three-year grant by the Council commits the Council to that related priority. With multi-year planning, the Council has the mechanism to weigh the value of such an award.

In the discussion of the elements or phases of the planning system which follows, it will become clear how the Council will gain through the implementation of a comprehensive planning system.

Assessment

An assessment, as in this case, a needs assessment, is a procedure that identifies the perceived or expressed needs

of the developmentally disabled in Connecticut. The procedure involves the use of various measurements and activities to obtain the data needed to define the exact nature of the problem area. An assessment generally answers the question: "What is the problem, concern, or need?"

The products of the needs assessment should be two-fold:

1. A statement of the perceived and expresses needs of the developmentally disabled in Connecticut.
2. A report or analysis of how the Connecticut Developmental Disabilities Council is meeting the needs of citizens so afflicted. (The staff has already enacted such an analysis; i.e., Statistical Analysis, May 1972 through June 30, 1974).

Priority Setting

The immediate concern of the Council is the establishment of priorites for both Council programs and funded projects. This system is designed to develop such priorities based on the needs identified in the assessment. The system also allows for the development of goals and objectives as well. To clarify, the following definitions are useful

Priorities:	A series of statements or categories expressing the concerns of the Council to which it wishes to invest its resources (financial and human). Priorities can be expressed in both short range and long term statements.
Goals:	A general philosophical statement providing an overall direction to the Council's activities.
Objectives:	Five-year -- Specific, measureable statements of expected accomplishments over the next five years. One-year -- Specific, measureable statements of expected accomplishments over a one year period.

The above definitions merely represent general guidelines to assist our discussion. In fact, priorities, goals, and objectives involve the same basic ingredients, stated in somewhat different formats. The ingredients, no matter how stated, should be the subject of continual dialogue for Council members. Such a dialogue insures a better understanding by all of the purpose and nature of the Council.

Program Development and Selection

The priorities established in the above stage become the basis for the development of both Council's program and its funded projects. All activities therefore are aimed at satisfying these priorities. In addition, each committee of the Council should develop its own priorities to insure that they complement the Council's effort. If differences exist, then a change should be made in either the Council's or the Committee's listing of priorities. Committee objectives also keeps the Council aware of new items to be considered as priorities.

For the Council, program development is two-fold: programs and projects. For the purpose of discussion, a definition of each would be useful:

Program -- A set of activities designed and carried out by the Council and its staff to meet its priorities.

Project -- A set of activities designed and carried out by an external agency (public or private) funded by the Council to meet a priority of the Council.

Regardless of its status, a Council program or a funded project should be keyed to the priorities of the Council. In terms of funded projects. the DDTA Grants Application Kit (discussed later in this report)provides a set of procedures which in fact make certain that a proposed project responds directly Council priorities.

In terms of Council programs, they too should structure as if they were a project. Objectives, activities, evaluation, and budget (pro-rations of staff time) should be developed for all possible programs which might meet the priorities of the Council. With alternatives developed, the Council can then select those programs most likely to meet Council's aims. Of course, one consideration would be cost of each program in both actual dollars and in staff time. The important issue is that Council would make a decision in that regard.

Approval

The approval stage involves the allocation of resources. Resources include such things as grant monies, administration monies, staff time, and Council member time to mention only a few. The approval should be formal; i.e., Council vote. Such a

procedure places an official commitment to the projects and programs selected. It also provides the needed authority for staff to conduct the Council's programs and supervise the funded projects.

Implementation

The implementation stage of the planning system involves the establishment of procedures to insure that the activities ascribed to the priorities are carried as designed, and are altered in process to increase the likelihood of success. Both the Council staff as well as the funded project staff need to develop management plans to guide them toward the accomplishment of their objective and in their day-to-day operations.

A management/operation plan should include the following:

1. One-year management/operation objectives
2. Program structuring (Activities by objectives)
3. Job descriptions
4. Time controls -- PERT Techniques
5. Data collection procedures
6. Evaluation design and instruments
7. Staff training
8. Budget controls
9. Auditing - program and finance

10. Consumer involvement

11. "Product" reports -- What has been produced?

Summary

This overview of the comprehensive planning system developed for the Connecticut Developmental Disabilities Council should be accepted as a formulative model. It should be the basis for a field test of the stages described later in this report. It should be discussed and observed in operation, and altered to improve it. Frankly, there is no ultimate wisdom in planning. All of the procedures described in this report have worked elsewhere, but that in itself will not insure success in Connecticut.

III. Needs Assessment

Assessment Overview

The assessment procedures discussed in this section are aimed at providing the Connecticut Developmental Disabilities Council with a comprehensive assessment of the needs of the state's developmentally disabled. The products of the assessment should also provide the Council with directions for the setting of priorities to meet the needs identified.

Following is the identification of eleven resource bases which should provide the data needed. The staff, with the guidance of the Steering Committee of the Council, will produce an Assessment Report which will include the following:

1. A listing of identified needs of the developmentally disabled by source;
2. A composite listing of all perceived or expressed needs by all sources; and
3. A ranking of all needs listed above by frequency, and by expressed urgency or intensity.

This Assessment Report should be developed and prepared in conjunction with the Steering Committee. The Committee should review the work plan as well as the completed work. Depending on the availability, Committee members should participate with

the staff in the collection and analysis of data.

The Steering Committee upon completion of the Assessment Report shall review and through analysis develop a listing of recommended priorities to the full Council. One possible format could be:

1. A three-year priority statement for general Council activities, subject to a review each year for possible updating, elimination, or strengthening of a commitment.
2. A special one-year priority statement to be used primarily for grant awards and also to focus Council's yearly operations.

Data Collection

The initial step of the needs assessment is the identification of sources and the collection of data from those sources. Sources of information on the Developmentally disabled are varied and complex. Simple categories do not always reflect the total source area. The listing which follows is an attempt to identify some broad areas to initiate study.

Research. This source consists primarily of the traditional elements -- journals, reports, monographs, texts,

and other publications. Also included should be the now developing data banks and clearinghouses; e.g., ERIC Clearinghouse on the Handicapped and gifted, or the National Information Center on the Handicapped.

Professions. Included here are the sources that are specially trained professionals dealing with the developmentally disabled. Examples (not all inclusive) are physicians, dentists, lawyers, and psychologists who by schooling or experience are especially sensitized to the problems of the disabled in terms of their services rendered.

Council. The Developmental Disabilities Council members are an important source of data, particularly because of the unique composition of membership. Also the Council has developed an expertise and knowledge of all the disabled, particularly in the State of Connecticut.

Committees. The committees of the Council have established relevant domains of interests, responsibility, and concerns, making them keenly aware of problems and needs. For example, the Committee on Human Rights is indeed sensitive to needed action to protect the rights of the disabled.

Consumers. Being developmentally disabled, this source is a crucial input to the data collection process. They, better

than any other source, have keen insights to both the immediate and long term needs of the disabled.

General Public. The collection of data from the general public is a needed input for two reasons. One is that they too have valuable ideas as to the needs of the disabled. Second, the data collected may well show that the public is not knowledgeable about the disabled, and that a need exists to educate the public in general or in a specific area.

Service agencies. The various private agencies servicing and representing people of all ages who are developmentally disabled have gathered data, identified problem areas, and established programs attempting to meet some of these needs. These agencies are important sources for the Council. In addition, Council needs to know the extensiveness of the agency's involvement in a particular problem area.

Office of Mental Retardation (OMR). OMR has the official responsibility to respond to the needs of the retarded in the State of Connecticut, hence the office is an important source of information for all disabled. Its various sub-divisions and their staffs have extensive experience and knowledge of the

disabled in the State. Of particular note is the evolving computerized data bank and its instantaneous source of information.

Regional Centers. The eighteen regional centers represent extensions into the various areas of the state and therefore should be able to identify regional needs to some extent. Similarly, they may also be able to identify services now regionally handled that may be handled better on a statewide basis.

State leaders. Leaders in business, government, the media, and the community in general may be unable to identify any needs. Or, they may identify needs no longer relevant. This fact may tell the Council it must begin to inform top level people about the needs of the disabled.

Projects. The projects funded by the Council over the last three years represent a substantial effort toward meeting the needs of the developmentally disabled. The various documents and evaluation reports from the projects should provide valuable data for input to the assessment.

Collection techniques

Having identified the sources, and made a selection of what sources to solicit, the next task becomes that of selecting what techniques to use to collect that data. Many factors

should be weighed -- time available, detailed information needs, and alternative sources of information. In terms of their effort, the staff of the Council could survey, interview, and otherwise collect data in samples and still develop a satisfactory base upon which to make a needs analysis. For example, they could mail a survey to some consumers, professionals, leaders, and public officials; interview a small number of each; read and abstract recent research; and convene four regional conferences. Such a process (only an example) is varied and almost self-correcting in terms of possible errors to be made. The involvement of the Council in various stages of the process would give the process an added plus.

The following are some recommended techniques for this form of assessment:

Survey. In both academic and industrial environs, the survey has proved to be a reliable and practical means of collecting data. Through second mailings, or telephone follow-up, a substantial response to a "pencil and paper" survey can be expected. Simplicity and time control (a form as short as possible which needs only a short time to complete) are also important considerations in developing the variety of survey forms which

could be used.

Investigative Research. Finding previously completed studies, census reports, relevant articles and monographs, and current research projects represent time consuming tasks. However, data banks and clearinghouses can provide bibliographies and special compilations. Newsletters and popular magazines and daily newspapers are also sources. Research of this nature once initiated, maintained on a regular basis, and updated frequently, will yield much information.

Interview. Face-to-face interviews, utilizing a structured question and answer format, can gather substantial data. Unfortunately, this approach is time consuming. It should be remembered that it is not required nor recommended that large number be interviewed. A sampling (small) would in most cases suffice. Interviews should perhaps only be used for comparison with other data collected.

Conference. Bringing together on a regional or statewide basis a large group of people must be carefully planned in order to insure useful data is made available. Both large and small group sessions should be utilized. Large group sessions should set the theme while small groups should discuss and identi-

fy needs. Specially trained group leaders should guide their groups toward generating priorities of needs of the disabled as they see them.

In utilizing all of these techniques, the importance of structure and ranking needs emphasis. All instruments, whether used in written or oral format, should be structured toward identifying needs. For example, an approach could employ these questions: From your perspective, what are the five most important needs of the developmentally disabled? Why is each important? Another example is: Listed below are needs of the developmentally disabled. Add any you feel should be included. Rank (1 thru 5) the five most important or crucial. Please explain why these five are so crucial and should be met.

Data Analysis

It is altogether possible that the initial effort to collect data will generate more data than needed to establish priorities. Too much data is almost as much a problem as too little data. Certainly no data should be discarded. However, it is necessary to establish criteria in order to sieve through

the total mass of data collected. Many needs will be identified. It is to be expected that crucial needs will be identified by, or through, several sources. Each source in pinpointing a need will place some emphasis on why the need is urgent or crucial.

The frequency or urgency of the need identified must be prime criteria for the data analysis. Some concern must also be expressed when one source identifies a need with great urgency, and no other source does. Is it a forgotten need? A special need? Is it one that only a consumer would be mindful of? A disparity of this nature should lead the staff to check back to other sources to determine if the need was overlooked.

Hence, the following should be useful as criteria in analyzing the data:

1. The frequency of which the need is identified. (How often does it appear from various sources?)
2. The intensity of its identification. (In what context and of what importance is the need identified?)
3. The disparity of its identification. (Is a need identified nationally, but not on a statewide basis? or is a need identified by consumers, but not by state leaders?)

Assessment Report

With the data collected and analyzed, the staff then prepares the Assessment Report, a document which will provide the Steering Committee and the Council with background and supporting information for priority setting. The contents of the Report should consist of at least the following:

a. Statement of purpose
b. Overview of procedures
c. Persons involved
d. Sources selected
e. Samples of instruments used
f. Raw data -- graphs, charts, etc.
g. Discussion of data
h. Listing of needs identified by source
i. Composite listing of all needs and all sources
j. Ranking of all needs by all sources, by frequency, and by urgency.

The document will be reviewed and discussed by the Steering committee at a regular meeting prior to any other distribution. At the direction of the Steering Committee, the document will be finalized and prepared for distribution to the Council.

Summary

In summarizing the needs assessment procedures, the following steps outline the activities described above:

1. Review data sources. Delete and add other sources.
2. Select sources to be assessed.
3. Select techniques for assessment process.
4. Design instruments and plan total collection process.
5. Distribute instrument and follow-up its execution.
6. Collect responses.
7. Analyze data with Steering committee.
8. Prepare to generate report.
9. Review draft of the Assessment Report with Steering Committee.
10. Revise and finalize Assessment Report.

IV. Priority Setting

Overview

The priority setting process involves the utilization of the Developmental Disabilities Council as the prime agent in the establishment of priorities. The Assessment Report, produced by the staff under the direction of the Steering Committee, provides guidance. The Council in this stage of the planning system would:

1. Receive individually a listing of needs and be asked to rank them as high, low, or middle priority. This listing, in the form of a questionnaire, would be returned to the Steering Committee by mail.
2. Meet in general Council session to discuss the result of the mail response and affirm by vote those items identified as "high" priority. Council may also select items from "middle" and "low" priority categories.

As a result of the Needs Assessment, the Council will have a series of listing of identified needs of the Developmentally Diasabled in Connecticut. The task then beomes one of determining which needs will be tackled as part of the Council's priorities. The needs must be reviewed and placed in a ranking

format. At a later date, the priority statements may be transposed into objectives, or used as part of the State Plan. The total process will involve staff, the full Council, and several committees. A result of the process will be a set of priorities for both the Council as a whole and for the solicitation and awarding of grants.

Initial Ranking

The initial step of the process utilizes the items developed in the Needs Assessment. The staff, with the Steering Committee, will prepare the needs in questionnaire format for use by all members of the Council. The questionnaire will present all needs identified by the various sources in categories of high, middle, and low frequency. The Council member is asked by the questionnaire to rank in high, low, or middle priority each of the needs (See sample, next page). The questionnaire is then returned to the staff and tallied, with the results being received by the Steering Committee.

The questionnaire should also contain some indication of intensity or urgency of identification. This task could be accomplished by a notation under the column "Assessment Report" with page citation for discussion.

State of Connecticut

State Department of Health
79 Elm Street
Hartford, Connecticut 06115

Office of Mental Retardation — Developmental Disabilities Program

PRIORITY QUESTIONNAIRE

Read each need listed below in categories of frequency. The groups are based on the Assessment Report. Please rank each according to the priority you give it.

	High	Mid	Low	Assess Rept
I. Needs - high frequency				
a. ----------				
b. ----------				
c. ----------				
d. ----------				
II. Needs - middle frequency				
a. ----------	X			p. 9
b. ----------			X	p. 11
c. ----------		X		
d. ----------	X			
III. Needs - low frequency				
a. ----------				
b. ----------				
c. ----------				
IV. Other needs - not listed above				
a. ----------				
b. ----------				

(Council members would have the opportunity to add their own)

USE BACK OF SHEETS FOR COMMENTS

The Steering Committee will analyze the Assessment Report and the returns of the Council members response to the questionnaire. Using these two sources, the Committee will prepare a draft listing of priorities for the Council's review, discussion, and approval. The priority statement should be as specific as possible, reflecting the information provided by the staff and Council.

An example of the process may be helpful for our discussion. The transportaion of the disabled from place of residence to place of needed service and activity is a frequently identified problem area. Perhaps several sources in the Needs Assessment identified it as a need (e.g., consumers, research, projects, and Office of Mental Retardation). This item would be one of high frequency on the questionnaire. The Assessment Report indicated some urgency because of current high costs and low reliability, hence a page notation would be in that column.

Each Council member would review the item on the questionnaire, check the Assessment Report as needed, and then rank the need as high, middle, or low priority, returning it by mail to Council staff. With tallied result, the Steering Committee would initiate the task of writing a priority statement which would reflect the Council's ranking of transportation.

Setting Priorities

At the next meeting of the Council, the Steering Committee would present a report on the members' responses to the questionnaire and submit for discussion a draft of the Council's Priority Statement. One possible example is as follows:

> The Connecticut Developmental Disabilities Planning and Advisory Council will promote ongoing programs, initiate and support innovative efforts, and conduct its own programs aimed at:
>
> 1. _____
> _____
> 2. _____
> _____
> 3. Improving transportation services and operations for the disabled from residence to service, with emphasis on low cost, quick response, and improved sharing of services.
> 4. _____
> _____
> 5. _____
> _____

With the receipt of the Priority Statement, the Council has the means by which to discuss and cull the possible range of their activities. For example, the Council may vote to delete the transportation priority, and select another need and write a statement for it. It is possible that the discussion would also cause the transportation priority to shift to higher or lower position. A Council member might also propose a change in the wording, make a motion to do so, and through discussion alter the statement. The total effect is one of reaching a consensus, consensus based on the best possible information and constructive responsible discussion. With discussion completed and consensus reached, the Council can formally vote approval to the Statement of Priorities.

The Statement of Priorities then becomes the document to channel Council's activities. The Project Review Committee should now utilize the Statement to solicit grant applications aimed at meeting the priorities. The other committees of the Council would go about formulating objectives to meet the priorities through their domain of interest. Obviously, the more specific the Statement of Priorities is, the more direction the committees and staff will have.

Summary

The Developmental Disabilities Council, because of its charge to make policy, is the organ to review the needs identified and transform these needs into priorities. The indications of frequency and intensity are informational, not rules to govern the Council. It is conceivable that the Council may select as a high priority item a need which many sources identified infrequently, with low intensity or urgency. It may be the Council's judgment that a small worthwhile effort would totally satisfy the need and eliminate its continued recurrence. The point here is that Council members would have total freedom of choice to carry out their charge.

In summary, the proposed system gives the Council a practical and responsible process of tranforming needs into priorities. With priorities developed, program development can begin.

V. Project Management

Overview

The development of a needs assessment and priority setting processes in itself will go far toward the general improvement of the projects funded, their operations, and their evaluation. However, much more could be gained if the grant applications process is revised to include improved planning and more comprehensive program development and budgeting. These elements are component parts of the Developmental Disabilities Grant Application System, designed and developed by the staff of the Developmental Disabilities Technical Assistance (DDTA) System (University of North Carolina, Chapel Hill, North Carolina) and field tested in conjunction with the New Jersey developmental Disabilities Council. The utilization of the system (or Kit) would key projects toward the Council's priorities and establish comprehensive planning thoughout all Council's efforts.

Grant Application System

The purpose of the Developmental Disabilities Grant Application System is to provide State Councils and their funding agency with a set of procedures, and materials supporting those procedures, which will allow for the orderly solicitation

of grant applications, development of those applications, and a comprehensive, fair review of the applications submitted for funding. While the system is complete and specific, it is designed with sufficient flexibility so that it adapts with State Plans and Council priorities.

The Application System consists of the following components:

1. Communications.

The system provides the user with sample correspondence for various stages:

a. Letter of Availability of Funds - advises the perspective applicants of monies to be awarded.

b. Letters of Response - advises applicant of acceptance, non-acceptance, alteration or technical revisions needed (one sample of each).

c. Letter of Notification - advises that the formal and complete application has been received.

d. Letter of Approval - indicates that application is funded.

e. Letter of Non-approval - advises applicant that request is not approved.

2. Grant Application.

This component provides an instrument with which to collect a full description of the proposed activities of the applicant. The activities are described in terms of the federal requirements and allows for inclusion of the priorities of the State Council. Specifically, the application form includes sections on budgets, personnel, job descriptions, project data, priorities to be met, project plans, general federal and state guidelines, assurances (of applicants guaranteeing compliance to guidelines), and official signatures of assurances.

The application form is supplemented by two documents:

a. Document A - Plan Development. This document provides instructional information concerning the development of the project's goals, objectives (behavioral), strategies, and costs. Extensive examples are cited.

b. Document B - Planning for Evaluation: Some Techniques and Rationale. This document defines evaluation and provides useful approaches toward development of effective procedures to measure achievement of project objectives and effectiveness of project activities.

These documents serve to assist the applicant in completing the application form. In the New Jersey field test, the document served as a basis for a one day workshop for all grant applicants. This workshop effort is a highly worthwhile extension of the application system.

3. Grant Application Review.

This component of the system provides two instruments for reviewing the applications submitted:

a. Agency Evaluation. This instrument organizes the review of the application by the funding agency in terms of technical requirements, project goals, organizational capacity, and overall impact.

b. Third Party Evaluation. This instrument provides for an independent review of the applications in terms of state priorities, feasibility, coordination, efficiency, accessibility, methodology, and continuity. This review may be carried out by an outside consultant.

In total, the Developmental Disabilities Grant Application System, developed and field tested by DDTA, offers the user many advantages, but particularly:

1. A system that encompasses a comprehensive planning approach.
2. A complete, yet flexible, system to solicit applications, organize grant information and data, and review all submitted material.
3. A responsible approach to award grants with objectivity, fairness, and integrity.
4. A system in which all applicants have an equal opportunity to seek funds.

Project Evaluation

The essence of project evaluation must be the accomplishment of the objectives set forth in the project proposal. In effect, the objectives in the proposal are contractual in nature, that is, the funds are provided for the funded agency which has agreed to carry out a program to satisfy those objectives. Hence, evaluation strategies must reflect the initial objectives and be able to show completion.

In reviewing the current evaluation procedures of the Council and its Evaluation Committee and staff, it would seem that they are suitable in terms of the application format now being used. Current application format, though calling for

program objectives and evaluation procedures, needs more structure, particularly in terms of performance measurements. With the use of the DDTA Grants Application System, evaluation procedures can become more sophisticated and productive. For example, visitations can be made using the format of the document -- Management Review of Developmental Disabilities Project" -- which can be found in the Document section of this report. This form should be used in conjunction with the original proposal, or a specially prepared abstract of objectives, activities, and evaluation.

Self-evaluation is also a very useful technique to employ. Project directors, prior to an official visitation, should be asked to prepare a self-evaluation of the project to date. This evaluation should include any and all materials, records, or documents showing that the project is moving toward its objectives. Also the project should be encouraged to maintain a project history, giving full particulars concerning special events, problems, and successes of all staff and clients. Another useful technique is a director's log which details the daily operation and efforts of the project.

Finally, every project should provide a "Year End Report" to the Council's staff. This report should be available within thirty days of project's termination date. A three year project would provide three such reports each year. This report is a crucial input to the annual Needs Assessment, for it indicates some satisfaction of old needs as well as identifying new ones. Enclosed in the Document Section of this report is a sample form -- "Project Year End Report" -- used in the New Jersey field test.

Summary.

The Grant Application system proposed here is one that is based on structure and comprehensive planning. It is crucial that the projects develop according to a format that is acceptable and able to provide a framework for evaluation. The application system performs this function. Hence, it is presented here for consideration. The Document Section of this report contains the full system, utilizing the forms field tested in New Jersey.

The system, if accepted by the Connecticut Council, will for the first time be linked to a Council also utilizing a comprehensive planning system aimed at assessing needs and setting priorities.

VI. Recommendations

This document has presented a substantial bulk of ideas and proposals. In fact, it is in itself a major proposal and recommendation; i.e., that the Conntecticut Developmental Disabilities Council establish a comprehensive planning system. The Council's movement to comprehensive planning is possible through the needs assessment and priority setting processes described above.

In order to provide further direction, this recommendation section is provided. It is divided in terms of the sub-divisions of this report. One additional category is provided as a means of supplying the Council with general observations concerning all functions and operations of the body.

A. Comprehensive Planning.

The Council should ---

-- Review the concept of comprehensive planning and determine the level of commitment it wishes to assign to it (1).**

-- Establish the year July 1, 1975 thru June 30, 1976 as a field test for all elements of the comprehensive planning system (2).

-- Maintain the Special Committee it established to overview this system design as the committee to overview the field test (3).

**Number in parenthesis (1) represents numerical designation, i.e., " Recommendation Number One."

The Staff should ---

-- Develop a work plan for the Council's approval showing how the field test will be conducted (4).

-- Identify exact need for continued outside assistance to aid in the field test (5).

-- Establish need for any internal training of staff to operate the planning system (6).

B. Needs Assessment.

The Council should --

-- Charge the staff to conduct the initial needs assessment and establish the process as part of the staff's annual work plan (7).

The Steering Committee and staff --

-- Prepare a work plan to conduct the needs assessment and present that plan to the Council for review and immediate start (8).

The Staff should --

-- Begin immediately to select sources to be assessed in the initial effort (9).

-- Initiate the design and testing of approriate instruments needed to collect data (10).

The Staff should (cont'd) --

-- Establish an internal filing process to physically collect, store, and make available data being gathered in the assessment (11).

C. Priority Setting.

The Council should --

-- Utilize current priorities as if they were established using the planning system and begin development of programs and solicitations of grant applications (12).

-- Consider how long it wishes each current priority is to be sustained in that category; e.g., one year, or three years (13).

D. Project Management.

The Council should --

-- Utilize the DDTA System's grant application process as described in this report. (14).

The Project Review and Evaluation Committees should --

-- Review recommended DDTA System grant application process and decide its applicability, and recommend its use (or discard) to the Council (15).

The Staff should --

-- Initiate an item by item review and revisement of material currently used in the grant award process(16).

-- Identify areas it would alter in current process in favor of DDTA System's package (17).

-- Prepare revisions to the DDTA System's package (i.e., change headings, State Plan, and Council priorities) (18).

E. General Observations.

In addition to the above, the following observations are included for Council's review and discussion:

Cooperative Strategy.

Although the monies now generally available through grants have declined sharply making Developmental Disabilities monies somewhat of a premium, the total amount of grants which the Council awards is relatively small, particularly in view of the problems of the disabled. It would therefore seem worthwhile to explore cooperative funding of projects with other grant making groups, private and government agencies, foundations, and consumer groups. Such cooperation would increase the "investment

power" of the Council money. The grant award could be used to attract these other agents or encourage their participation (funding); and, therefore, allow the Council to tackle priorities more comprehensively.

Size of Council.

The current Council membership seems rather large. It would seem valuable for Council to establish some idea as to what size it wants to be. A smaller size would seem to offer a more even functioning pattern. However, whatever size the Council wishes to be is the appropriate size. The point is that the question should be raised, considered, and decided upon by Council. If a smaller size is deemed more appropriate, then attrition should be allowed to have its effect. Other decisions (maintain size or increase size) should call for appointments to be made promptly.

Types of Grants.

Council should consider all the possible types of grants it may award. For example:

a. Innovative grant -- award made to carry out a new, experimental project for the disabled.

b. Research grant -- award to carry out basic investigation in a problem area.

c. Demonstration grant -- Award made to show the operational character, value, or effectiveness of a particular set of activities.

d. Planning grant -- award made to explore possible development of a project or innovative effort.

e. Mini-grant -- small award made to accomplish short term study or project (six to twelve months).

Considering each of these types of grants, the Council should decide how it wishes to award its grant monies. It may decide to concentrate on only two or three types of grants. The benefit of making a decision concerning types of grants is crucial to the consideration of the best utilization of Council dollars.

Relationship with the Office of Mental Retardation.

Although the Developmental Disabilities Program operates under the Office of Mental Retardation, the relationship needs to be examined and discussed in terms of grant awards and priority setting. OMR is very active and progressive in its efforts on behalf of Connecticut's disabled. It would seem that Council should encourage and buttress such efforts, as well as provide incentives in exploring new approaches. Undoubtedly, OMR will suffer budget constraints, or even cutbacks. Council should

therefore be sensitive to projects which may be cut out of the regular budget because OMR cannot obtain state funds. Certainly, Developmental Disabilities monies should never be used where the responsibility is clearly that of the State. The point here is that the Council should not miss the opportunity to help the disabled, even though someone else should have, or could have, funded it.

Auditing.

The Council has carried its charge to responsibly award grants to competent agencies. However, it should give consideration to the need to audit spending of its grant monies by the receiving agencies for appropriate material and services. In order to insure proper spending, Council should audit a sample of its larger projects funded. If irregularities appear, then further auditing ought to take place. Measures also ought to be developed to establish a uniform accounting procedure for projects reflecting minimum state requirements.

Advocacy.

The creation of any group such as the Connecticut Developmental Disabilities Council brings together a substantial body of influence. Through its collective nature and its grant

awards, the Council does much to help the developmentally disabled cause by bringing their problems to the attention of others and encouraging solutions to those problems. Hence, members bring to the Council their insights, sensitivities, and experience to work collectively. It should be pointed out that each member can bring much from the Council to their constituencies. Many members apparently do. More, it would seem, need to. The work of the Council must be carried to state agencies, public and private groups, consumers, parents, and to anyone who will listen. In effect, each member must be become an advocate, seeking to influence all with the cause of the developmentally disabled.

Appendix

VITAE

DR. DAVID E. WEISCHADLE

6 Ribsam Street
Trenton, New Jersey 08619
609/587 - 3245

Personal Data

Married -- the former Mary Ann Piscopo of Trenton
Children -- David II and Douglas Eric
Height - 5'7" Weight - 170 lbs Birth - October 4, 1941

Current Position

ASSOCIATE PROFESSOR OF EDUCATION
Montclair State College
Department of Educational Leadership
Upper Montclair, New Jersey 07043

Degrees

DOCTOR OF EDUCATION (Ed.D.)	Rutgers - The State University, Graduate School of Education New Brunswick, New Jersey, 1970. Curriculum Theory and Development
MASTERS DEGREE (Ed.M.)	Rutgers - The State University, Graduate School of Education New Brunswick, New Jersey, 1964. Curriculum & Instruction, Social Sciences.
BACHELOR OF SCIENCE (BS)	Rutgers - The State University, New Brunswick, New Jersey, 1963. Social Sciences, English, Earth Science, and Education.

Certifications:

ADMINISTRATOR (Superintendent of Schools), PRINCIPAL, SUPERVISORS, and TEACHER (Social Studies and English)

Professional Organizations:

Association for Supervision and Curriculum Development (ASCD)
National Society for the Study of Education (NSSE)
American Educational Research Association (AERA)
International Society of Educational Planners (ISEP)

Experience:

ASSOCIATE PROFESSOR OF EDUCATION: Department of Educational Leadership, School of Educational and Community Services, Montclair State College, Upper Montclair, New Jersey. Dean - Dr. Ercell I. Watson. Graduate faculty member teaching courses in educational administration, education law, and systems analysis, and related fields.

CONSULTANT: Curriculum development, Evaluation, Goal Setting, Planning, Budgeting(PPBS), Electronic Data Processing(EDP), Systems Design and Analysis, Project Management, Proposal Writing, Administrative Organization, Management(MBO), Research, and related areas. Local, State, and Federal educational, health, and social agencies.

DIRECTOR OF RESEARCH, PLANNING, AND EVALUATION: Division of Research, Planning, and Evaluation, Trenton Public Schools, Trenton, New Jersey. Superintendent of Schools - Dr. Salvador R. Flores. Served also as PROJECT DIRECTOR of "Building a Comprehensive Planning Capability with EPPBS," a special project funded under Title III ESEA for $192,300. Created new division reporting to the superintendent, provided staff with technical assistance in planning, budgeting, project management, evaluation, computerization, research, curriculum design, testing, and related areas (Trenton: 17,000 students, 2200 staff, and $25 million budget); edited and authored ten project related studies for ERIC; designed and field tested a comprehensive planning system and project management system. Also conducted staff training, community goal setting program, and program analysis. Carried out enrollment, cost, and revenue forecasting program(EDP). Wrote proposals for state, federal, and foundation funding (realized nearly $1 million in returns). September 1, 1970 to September 1, 1973.

PROGRAM DEVELOPMENT SPECIALIST: New Jersey Urban Schools Development Council, an intermediate unit of the State Department of New Jersey. Developed and implemented programs and provided technical assistance in the fields of program development, research, and evaluation. Served the ten most urban districts in the state. Special areas: Aerospace, Science-Mathematics, Language Arts, Environmental Education. Designed and edited CURRICULETTER. December 1969 to September 1970.

GRADUATE STUDY: Full time, June 1969 to December 1969.

TEACHER: Social Studies and Language Arts, Edison Public Schools, Grades 7 & 8. Dr. Joseph Kreskey, Assistant Superintendent of Schools, Edison, New Jersey. Assignments: Member, District Social Studies Steering Committee: Chairman, Geography Revision Committee; Chairman, Administration Committee, Self Study. Three years.

Experience (Cont'd):

VISITING FACULTY: Rutgers-Graduate School of Education, and Trenton State College. SALES: Fine jewelry, EJ Korvettes, North Brunswick, New Jersey, part-time, five years. APPRENTICE: plumbing and heating, Local 432, New Brunswick, New Jersey.

Military Service:

Entered as a 2d Lieutenant and assigned to the US Army Southeastern Signal School, Fort Gordon, Ga. Instructed Combat logistics and Military Justice to officer students and officer candidates. Developed curriculum and wrote lesson plans for OCS program. Awarded Certificate of Achievement, promoted to 1st Lieut.

Assigned to the 228 Signal Company, Vietnam, Site Commander, in September 1966. Served as platoon leader, operations office, and executive officer. Promoted to Captain and served as acting company commander.

Honors:

Dean's list - Rutgers University
Financial grant , Engelhart Foundation, Labor Management relations, Institute of Management and Labor, Rutgers.
Elected to Kappa Delta Pi, an honor society in education
Listed in WHO'S WHO IN THE EAST (15th Edition)
Listed in LEADERS IN EDUCATION (5th Edition)
Listed in DIRECTORY OF ORGANIZATIONS AND PERSONNEL IN EDUCATIONAL MANAGEMENT
Certificate, Management Training Program, Educational Program Management Center, Ohio State University, 1972.

Speaking Engagements:

Program Development Seminar, NJ Department of Education, March 1970.
Grant Application, NJ Department of Education, April 23, 1970.
Drug Education Seminar, Rutgers University, July 22, 1970.
Educational Planning, Center for Educational Technology, April, 1972.
PPBS, New Jersey Association of School Administrators, July 12, 1972.
Productivity in Education, National School Finance Conference, National Education Finance Project, Atlanta, April 3, 1973.
Accountability, Montclair State College, April 10, 1973.
Planning Systems, International Conference, Association for Educational Data Systems, New Orleans, April 18, 1973.
Goal Setting, Conference, Educational Testing Servies (ETS), Princeton, New Jersey, August 29, 1973.
Community/Curriculum, NJEA Convention, November 15, 1973
Educational Planning, 3rd National PPBS Conference, Dr. Harry Hartley, New York Hilton, November 16, 1973.
Project Development, NJ Department of Institutions & Agencies, Governor's Developmental Disabilities Council, April 1974.
Systems, EIC Conference, May 23, 1974.
Planning and Management, Community Education Institute, June 1974.
Educational Planning, NJ School Boards Association, October 1974.

Publications:

David E. Weischadle. PHILOSOPHY OF HISTORY AS FOUND IN SELECTED SCHOOL AMERICAN HISTORY TEXTBOOKS. Unpublished Masters Thesis, Rutgers University, 1964.

_____. "American History in Our Secondary School Textbooks: A Philosophical Approach," THE SOCIAL STUDIES, LVIII (February 1967), 62-68.

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_____. "Paternalism: A View of Latin American Foreign Policy of the US -1823-1934," THE SOCIAL STUDIES, LXI (November 1970), 263-269.

_____. "A Change in Direction (Curriculum Development)," ILLINOIS SCHOOLS JOURNAL,L (Fall 1970), 220-228. Featured in syndicated column, CHANGING SCHOOLS, NJEA, November 1970.

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_____. and Mary Ann Piscopo. "Aerospace Education," NJEA REVIEW, VL (April 1972), 48-49.

Publications (Cont'd):

David E. Weischadle. "P + P⇒B System," PLANNING AND CHANGING, III (Winter 1973), 15-19.

_____. GOAL SETTING. ED 067 767. See RESEARCH IN EDUCATION, VII (February 1973), 38.

_____. STEP: AN EDUCATIONAL PLANNING SYSTEM. ED 071 142. See RESEARCH IN EDUCATION, VIII (may 1973), 37.

_____. "Evaluation: A Continuous Process," THE ADMINISTRATOR, III (Spring 1973), 16-17, 19.

_____. STEP: PROGRAM BUDGET. ED 078 529. See RESEARCH IN EDUCATION, VIII (November 1973), 43.

_____. "Technology and Local Schools," FOCUS, XX (March 1974), 3.

_____. "Project Management: A System for Administering Innovation," EDUCATIONAL TECHNOLOGY, XIV(March 1974), 52-4.

_____. "An Educational Planning System," in PROCEEDINGS OF THE ASSOCIATION FOR EDUCATIONAL DATA SYSTEMS. Washington, DC: The Association, 1974, pp. 391-402. (A paper presented at AEDS Conference in New Orleans, April 16, 1973).

_____. ADMINISTRATIVE DECISION MAKING AND COMPUTER BASED PLANNING SYSTEMS. ED 087 098. ERIC. See RESEARCH IN EDUCATION, IX(June 1974), 48. (A paper presented at the 3rd National PPBS Conference, New York Hilton, Novemebr 16, 1973).

_____. "Schools Ignore Viet Vet Needs," NEWARK STAR LEDGER, July 7, 1974, pp. 39, 44. A special article featured in the Education Forum, Education and Youth Section.

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_____. PLANNING FOR COMMUNITY EDUCATION. ERIC (In Press)

_____. "EMIS: The Key to Educational Decision-making," THE ADMINISTRATOR QUARTERLY (In Press).

_____. PROJECT MANAGEMENT SYSTEM. ERIC (In Press)

_____. "Computer Literacy," COLLEGE STUDENT JOURNAL (In Press)

Document Section

DEVELOPMENTAL DISABILITIES PROJECT
GRANT APPLICATION SYSTEM

Component	
I.	Letter of Availability of Funds
II.	Divisional Responses
III.	Grant Application Kit
IV.	Plan Development -- Document A Planning for Evaluation -- Document B
V.	Third Party Evaluation Guidelines
VI.	Agency Evaluation
VII.	Management Review Form
VIII.	Project Year End Report

DIVISION OF MENTAL RETARDATION
169 West Hanover Street
Trenton, New Jersey 08625

FY 1974 DEVELOPMENTAL DISABILITIES PROJECT GRANT APPLICATION

LETTER OF AVAILABILITY OF FUNDS

Enclosed with the sample letter describing the availability of funds are 1) a brief version of the Developmental Disabilities Act, 2) guidelines established by the New Jersey Council, including both the statewide priorities and goals as well as the priorities and goals of the four regions in New Jersey, and 3) a sample form letter to be returned to the agency by those organizations wishing to apply for funds. The applying organization must answer completely the questions and return the letter to the agency.

LETTER OF AVAILABILITY OF FUNDS

TO:

RE: Developmental Disabilities Funding for 1974

Applications are now being accepted for funding under P. L. 91-517, the Developmental Disabilities Services and Construction Act, to improve the quality, extent and scope of a broad range of community services for the developmentally disabled. Under the New Jersey Developmental Disabilities State Plan, funds will be made available for projects which will enhance the quality of life of the developmentally disabled of the State through activities which increase their participation in community life and in all of the existing service systems.

Grants may be made to any public or private, non-profit agency or organization for service to the developmentally disabled. Interested parties should review the enclosed materials, including the goals of the Council, regulations governing funding, and procedures for application. Because of the limited funds available, it will be important that agencies carefully consider the Council's priorities in developing their projects.

Groups planning to develop project proposals should return the enclosed "Letter of Intent" as soon as possible. If the "Letter of Intent" is reviewed favorably, the Division of Mental Retardation will then supply a grant application and additional assistance in preparing the application as is necessary. Letters of intent should be returned no later than __(date)__. The final application must be received no later than __(date)__.

Please contact this office for any additional assistance we might be able to provide.

_____

Grant Coordinator, Department of Mental Retardation

encl: 1. Council Priorities
2. Developmental Disabilities Act
3. "Letter of Intent" form

GUIDELINES FOR DEVELOPMENTAL DISABILITIES
BY THE NEW JERSEY STATE PLANNING AND ADVISORY COUNCIL

The following categories will be utilized in evaluating individual projects for funding:

A. Priorities of 1973 State Plan: The overall extent to which proposal addresses itself to the following stated goals and objectives in the 1973 State Plan.

No project will be approved under the 1973 State Plan if it is determined that other sources of funds are more appropriate to carry out the purpose of the project. The applicant must demonstrate how his particular project will augment or complement rather than duplicate efforts already being carried out on behalf of the developmentally disabled.

The overriding State priority is the enhancement of the quality of life for the developmentally disabled of the State through activities which increase their participation in community life and in all of the existing service systems; such activities may include but are not limited to dissemination of information, identification of resources, fostering of collaborative relationships between agencies, gap-filling or supplementary support, and short term training of actual or potential consumers and providers.

The 1973 State Plan priority goals are:

1. The facilitation of utilization of existing resources by developmentally disabled people.

2. The development of new, innovative, multi-purpose transportation systems designed to serve the developmentally disabled in many ways and within a geographical area, as opposed to the kind of system which is attached to and used solely or primarily to facilitate the rendering of a specific service program.

3. The development of various kinds of community centered semi-independent living arrangements for youths and adults. Such facilities would serve as alternatives to institutional care and would foster the normalization of developmentally disabled individuals.

4. A mobilization designed to utilize existing federal social service legislation and programs to the optimal advantage of the developmentally disabled in New Jersey, and the development of a functional coordinated system of protective services, including guardianship.

5. The integration of developmentally disabled individuals of all ages into generic recreational and leisure time programs with particular regard to such programs which are under public (municipal, county, State) auspices.

6. Evaluation of the extent and characteristics of barriers to employment of certain categories of developmentally disabled persons due to employers' or insurance companies' attitudes and demonstration of successful methods of breaching barriers to employment. Stress in this area should be given to

those barriers to employment which are based upon the views and actions of others rather than being intrinsic to the developmentally disabled itself.

7. The development of consolidated, comprehensive diagnosis and evaluation services for substantially developmentally disabled adults (e.g., through inclusion on a demonstration basis of such programs in Health Maintenance Organizations (HMO) currently under implementation).

Please note that these priorities are on a state-wide basis and go beyond the definitions of the sixteen services. Regional variations in the order of service priorities are indicated in Chart # 1.

B. Feasibility: The degree to which the proposal itself actually is designed to meet its own stated goal or objective; the likelihood of accomplishing what is proposed; practicality in terms of budget request; financial and other resources of applicant relative to continuation of project beyond the initial funding period.

C. Coordination: The degree to which the proposal provides for increased integration and coordination of service; extent to which definite agreements for interagency cooperation are provided; degree to which the proposal provides a basis for increased interagency cooperation; relationship of proposed program to a regional network of coordinated services for the developmentally disabled; how the proposal conforms to long-range plans to improve availability of service.

D. Poverty Areas: The degree to which the proposed project considers and attempts to meet the needs of the urban or rural poor; the extent to which the proposal is specifically designed to encourage utilization by urban or rural poor.

E. Efficiency: Adequacy of project design in accommodating to identifiable needs in area of State to be served; the extent to which it capitalizes on existing and possibly under-utilized resources in the area; the degree to which the proposal closes existing "gaps" in service; the possibility of other more efficient ways of achieving the same goals through alternate means; the availability of alternate and possibly more suitable State or federal funds to achieve purposes of proposal.

F. Accessibility: The degree to which the proposal incorporates mechanisms to inform people as to existence and availability of service; extent to which the proposed service is free of restrictions due to age, disability or other factors; the degree to which the proposal considers location of facility and transportation so as to increase accessibility.

G. New or Improved Methods: The proposal's potential as pilot or demonstration project dealing with new or improved methods of rendering service; the likelihood that the proposal should serve as a model for similar service in another location.

II. Continuity: Priority will be given to the renewal of projects already funded under P. L. 91-517. Any project funded under a multi-year proposal will be evaluated in terms of fulfilling its states objectives and in terms of its conformity to the Council's priorities.

CHART # 1

This chart is for the purpose of presenting the ranking of priorities within each region and is also to indicate the weight that each priority will be given in relation to other regional priorities when reviewing grant applications.

The vertical columns are ranked in accordance with designations of greatest need for services and facilities, Region IV being in the greatest need and Region II having the least need. The horizontal columns have the priorities of each individual region as they have been ranked from most important to least important.

To elaborate, priority A-1 (Utilization of existing resources, Region IV) supersedes all other priorities since Region IV has been designated as the area of greatest need. Priority A-2 (Multi-purpose transportation systems, Region IV) and priority B-1 (Utilization of existing resources, Region I) are to be considered of equal weight. This continues until priority D-10 (Barriers to employment which are based upon the views and actions of others, Region II) which is of least importance.

PRIORITIES	REGION IV (A)	REGION I (B)	REGION III (C)	REGION II (D)
1	Utilization of Existing Resources			
2	Multi-purpose Transportation Systems	Utilization of Existing Resources		
3	Integration Into Generic Recreational and Leisure Time Programs	Barriers to Employment Which are Based Upon the Views and Actions of Others	Utilization of Existing Resources	
4	Utilization of Existing Federal Social Service Legislation Towards the Development of Functional Coordinated System of Protective Services	Utilization of Existing Federal Social Service Legislation Towards the Development of Functional Coordinated System of Protective Services	Community Centered Semi-Independent Living Arrangements	Utilization of Existing Resources 4
5	Diagnosis and Evaluation Services for Substantially Developmentally Disabled Adults	Multi-purpose Transportation Systems	Integration Into Generic Recreational and Leisure Time Programs	Multi-purpose Transportation Systems 5
6	Community Centered Semi-Independent Living Arrangements	Integration Into Generic Recreational and Leisure Time Programs	Multi-purpose Transportation Systems	Community Centered Semi-Independent Living Arrangements 6
7	Barriers to Employment Which are Based Upon the Views and Actions of Others	Community Centered Semi-Independent Living Arrangements	Barriers to Employment Which are Based Upon the Views and Actions of Others	Integration Into Generic Recreational and Leisure Time Programs 7
8		Diagnosis and Evaluation Services for Substantially Developmentally Disabled Adults	Utilization of Existing Federal Social Service Legislation Towards the Development of Functional Coordinated System of Protective Services	Utilization of Existing Federal Social Service Legislation Towards the Development of Functional Coordinated System of Protective Services 8
9			Diagnosis and Evaluation Services for Substantially Developmentally Disabled Adults	Diagnosis and Evaluation Services for Substantially Developmentally Disabled Adults 9
10				Barriers to Employment Which are Based Upon the Views and Actions of Others 10

DEVELOPMENTAL DISABILITIES SERVICES AND FACILITIES CONSTRUCTION ACT P.L. 91-517

The new Developmental Disabilities Services and Facilities Construction Act became Public Law 91-517 on October 30, 1970. It makes available a wide range of strategies to meet the problems of the developmentally disabled. The Act amends P.L. 88-164, and authorizes appropriations for: • *formula grants to States* • *grants for projects of national significance* • *grants for interdisciplinary training programs in institutions of higher learning* • *grants for university-affiliated facilities*
The legislation extends through June 30, 1973.

WHAT THE ACT DOES

Target Group

The Act defines developmental disability to mean a disability attributable to mental retardation, cerebral palsy, epilepsy, or other neurological handicapping condition of an individual found to be closely related to mental retardation or to require treatment similar to that required by mentally retarded individuals, and

- *the disability originates before such individual attains age 18*
- *and has continued, or can be expected to continue, indefinitely*
- *and constitutes a substantial handicap of such individuals.*

Program

The Act authorizes grants for:

- *developing and implementing a comprehensive and continuing plan;*
- *providing services to the developmentally disabled;*
- *construction of facilities for the housing of services;*
- *training of specialized personnel for services and research;*
- *developing or demonstrating new or improved techniques of services;*
- *construction of "university-affiliated facilities" for the interdisciplinary training of professional personnel; and*
- *demonstration and training grants.*

FORMULA GRANT PROGRAM

Part C of the Act authorizes formula grants to States for planning, administration, services, and construction of facilities for the developmentally disabled.

Prime Concepts

- Federal support for a wide range of diversified services in terms of life time human needs of the developmentally disabled. The Act provides for the comingling of funds under this program with those of other State programs. This facilitates the development of comprehensive services for the developmentally disabled through the combination and integration of the efforts in both specialized and generic services of several State agencies representing diverse areas such as health, welfare, education and rehabilitation, without imposing a set pattern of services on any one State.
- Comprehensive planning of needed services and facilities providing for more efficient and effective utilization of existing human and fiscal resources at all levels.
- Development of new or innovative programs to fill gaps in existing services and to expand the reach of existing services among new groups of individuals.
- Integration of services and resources of all State, regional, and local agencies assisting the developmentally disabled.
- Responsibility at State level for developing strategies for the successful implementation of the program.
- Use of Federal funds must not result in a decrease in the level of effort at State and local levels in providing services to persons with developmental disabilities. To the extent feasible, this program should stimulate an increase in effort.

Authorization Level

FY 1971 $60 million
FY 1972 $105 million
FY 1973 $130 million

The amount actually appropriated by Congress in any fiscal year may be less than the authorized level.

Allotments

1. *Formula for Making State Allotments*

The formula for allotments to States includes the types of factors which are widely used in determining State allocations.

- *population*
- *per capita income*
- *need (for services and facilities for the developmentally disabled.)*

2. *Minimum Allotment*

- The minimum allotment to all States, District of Columbia, and Puerto Rico is $100,000 in each fiscal year.

3. *Reallotment of Funds*

- Funds allotted to a State for a fiscal year not required for the program in that year may be reallotted to other States.

4. *Maximum Allotment for Construction*

- The ceiling on the portion of funds which a State may use for allocation to construction projects is established by the Secretary. It may not exceed 50 percent of the State's allotment.

Use of Funds

- Formula grants to States may be used for:

Planning

One of the major thrusts of the formula grant program is the development of a comprehensive plan for:

- *delivery of services*
- *construction of facilities*

The plan must be comprehensive and must provide for technical assistance to poverty areas. Planning must also be a continuing process reaching from the State level to regional and local levels and providing intensive involvement of agencies and consumers at all levels.

Administration

Federal funds may be used to provide for adequate administration of the pro-

gram. States must also participate in the support of the administration of the program.

Delivery of Services

Use of Federal funds for support of services is designed to fill gaps in the existing service structure in the State and for expansion of services to groups of the developmentally disabled not now receiving services. It is *not* designed to relieve States for support of existing services.

"Services for persons with developmental disabilities" means specialized services or special adaptations of generic services directed toward the alleviation of a developmental disability or toward the social, personal, physical, or economic habilitation or rehabilitation of an individual affected by such a disability.

The term services includes:

- diagnosis
- evaluation
- treatment
- personal care
- day care
- domiciliary care
- special living arrangements
- training
- education
- sheltered employment
- recreation
- counselling
- protective and other social and socio-legal services
- information and referral
- follow-along
- transportation

It is anticipated that generally a large portion of Federal funds will go to support modules of services, combinations or groupings of services rather than individual discrete services except in those instances where an individual service may be needed to complete the range of resources available to the developmentally disabled.

Construction

Federal funds may be used to assist in the construction of facilities for the developmentally disabled to house the services listed above. Under terms of the legislation "construction" means: (1) the construction of new buildings; the acquisition, expansion, remodeling and alteration of existing buildings; (2) initial equipment for such buildings; (3) architect's fees.

Mechanisms for Administering Program

The formula grant program of the Developmental Disabilities Act operates through two main mechanisms:

- *State Planning and Advisory Council*
- *Designated State Agencies*

State Planning and Advisory Council

The Council will set the pace for the direction, development and growth of the program through its responsibilities and its membership. At least annually it must review and evaluate its State plan and submit appropriate revisions to the Secretary. Provision must be made for support of adequate staffing of the Council.

The membership of the Council is to include representatives of each of the principal State agencies and of local agencies and nongovernmental organizations and groups concerned with services for the developmentally disabled and representatives of consumers of services. At least one third of the membership of a State Council must represent consumers.

Designated State Agencies

- One or more State agencies may be designated to administer or supervise the administration of the State plan. An interdepartmental agency such as a commission or board may be designated to administer or supervise the administration of all portions of the plan.
- A single State agency must be designated as the sole agency for administering or supervising the administration of grants for construction under the State plan.

State Plan

In order to receive an allocation, a State must have a State plan submitted to and approved by the Secretary. In addition to the requirements concerning the State Planning and Advisory Council and the designation of a State agency or agencies to administer all or portions of the plan described above, and the State plan must:

(1) Describe how other pre-existing State-Federal programs provide for the developmentally disabled and how the new program will complement and augment, and not duplicate, these programs. At least 9 specific programs must be taken into account,

- vocational rehabilitation
- public assistance
- social services
- crippled children's services
- education for the handicapped
- medical assistance
- maternal and child health
- comprehensive health planning
- mental health

(2) Show how needed services and facilities for the mentally retarded and other developmental disabilities will be provided;

(3) Set forth policies and procedures to insure effective expenditures of funds under the plan;

(4) Contain assurances that:

- *the funds will be used to strengthen services*
- *part of the funds will be made available to local groups or agencies*

Federal funds will be used to supplement, rather than supplant, non-Federal funds that would otherwise be available

- *the State itself bears a reasonable share of the non-Federal cost of implementing the plan*

(5) Provide for the maintenance of standards with respect to the scope, quality and administration of facilities and services under the State plan

(6) Provide that the administering State agencies will make reports and keep records

Federal Share

The Federal share of support varies according to the type of program to be supported as indicated in the following chart.

	SERVICES		CONSTRUCTION	
Fiscal Year	*Regular*	*Poverty Areas*	*Regular*	*Poverty Areas*
1971	75 percent	up to 90%	up to 66-2/3%	up to 90%
1972	75 percent	up to 90%	up to 66-2/3%	up to 90%
1973	70 percent	up to 80%	up to 66-2/3%	up to 90%

(7) Provide that special financial and technical assistance will be given to urban and rural poverty areas in securing services and facilities

(8) Describe the methods that will be used to assess the effectiveness of State programs under the plan

(9) Develop a program for the construction of facilities based on an inventory of existing facilities and survey of need

(10) Provide for the determination of priorities for meeting needs for services and construction of facilities.

Regulations and Standards

The Secretary is required to issue general regulations to cover:

- the kinds of services and categories of persons which may be included in the formula grant program
- standards as to the scope and quality of services
- the general manner in which a State shall determine priorities for services and facilities, with special consideration for poverty areas
- general standards of construction and equipment

Eligible Participants in Programs

State, regional and local public and nonprofit agencies and organizations are eligible for participation in programs under this Act.

SPECIAL PROJECTS

The Act provides that the Secretary may reserve up to 10 percent of the amount appropriated for the formula grant program for the support of projects of national significance.

Types of Projects

The funds reserved by the Secretary may be used for projects of national significance which will

- *demonstrate new or improved techniques in the delivery of services*
- *assist in meeting special needs of the disadvantaged for services and facilities*
- *be of special national significance in carrying out purposes of this title.*

Approval of Grant

- Applications for special projects are received, reviewed, approved, and funded directly by the Federal government. Projects are to be consistant with the approved State plan.

Federal Share

- Up to 90 percent of the amount approved for the project

NATIONAL ADVISORY COUNCIL

The Developmental Disabilities Services and Facilities Construction Act provides for the establishment of a National Advisory Council.

Function of Council

The Council will advise the Secretary on regulations, and study and evaluate the effectiveness of programs in carrying out the purposes for which they were established. The Council may receive technical assistance, and the Secretary is required to make available such assistance and data as may be required for the Council to carry out its functions.

Membership

The Council will consist of 20 members. Members of the Council are to be chosen from leaders in the fields of service to the mentally retarded and other developmentally disabled persons, including leaders in:

- *State or local government;*
- *institutions of higher education; and*
- *organizations representing consumers of services*

At least five members of the Council must represent State or local public or nonprofit private agencies, and at least five must represent consumers.

UNIVERSITY AFFILIATED FACILITIES

The Act provides for a new program of Federal support for interdisciplinary training programs in institutions of higher learning as well as for the construction of facilities to house these programs.

Training Programs

Purpose

Grants may be made to cover the costs of administering and operating demonstration facilities and interdisciplinary training programs for personnel needed to render specialized services to persons with developmental disabilities.

Authorizations

Fiscal Year 1971 $15 million
Fiscal Year 1972 $17 million
Fiscal Year 1973 $20 million

The amount actually appropriated by Congress in any fiscal year may be less than the authorized level.

Approval of Grant

Applications are approved and funded at the Federal level after review and recommendation of the Regional Commissioner, SRS.

Federal Share

Up to 75 percent of approved grant.

Priorities

Priority consideration is to be given to projects which have made arrangement for a junior college to participate in the program proposed in the application.

Maintenance of Effort

The application must be supported by reasonable assurance that the grant will not result in a decrease in the level of effort at State and local levels in providing services to persons with developmental disabilities and in the support of training of persons to provide services to the developmentally disabled.

Construction Program

Purpose

Grants are made to assist in the planning and construction of facilities to house interdisciplinary training programs for personnel needed to provide services for the developmentally disabled.

Authorizations

Fiscal Year 1971 $20 million
Fiscal Year 1972 $20 million
Fiscal Year 1973 $20 million

The amount actually appropriated by Congress in any fiscal year may be less than the authorized level.

Approval of Grant

Applications are approved, and funded at the Federal level after review and recommendation of the Regional Commissioner, SRS.

Federal Share

Up to 75 percent of the eligible costs of the construction project.

Planning Grants

Grants are available for any fiscal year in an amount not to exceed 2% of the construction appropriation to cover part of the costs of the planning of approved projects for construction under this program. Grants may be made up to 75% of such costs up to a maximum grant of $25,000 for any one planning project.

Information

The programs provided for in this Act will be administered by the Rehabilitation Services Administration, Social and Rehabilitation Service. The Rehabilitation Services Administration staff in the attached list of regional offices will be available for consultation regarding the provisions of this legislation.

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
SOCIAL AND REHABILITATION SERVICE
REGIONAL OFFICES

Regional Commissioner
SRS Region I
J. F. Kennedy Federal Bldg., Rm. 1503
Boston, Massachusetts 02202
Connecticut *New Hampshire*
Maine *Rhode Island*
Massachusetts *Vermont*

Regional Commissioner
SRS Region II
26 Federal Plaza
New York, New York 10007
New York *Puerto Rico*
New Jersey *Virgin Islands*

Regional Commissioner
SRS Region III
P.O. Box 12900
Philadelphia, Pennsylvania 19108
Delaware *Pennsylvania*
District of Columbia *Virginia*
Maryland *West Virginia*

Regional Commissioner
SRS Region IV
50 Seventh Street, N.E., Rm. 448
Atlanta, Georgia 30323
Alabama *Mississippi*
Florida *North Carolina*
Georgia *South Carolina*
Kentucky *Tennessee*

Regional Commissioner
SRS Region V
Room 901, New Post Office Bldg.
433 West Van Buren Street
Chicago, Illinois 60607
Illinois *Michigan*
Indiana *Ohio*
Minnesota *Wisconsin*

Regional Commissioner
SRS Region VI
1114 Commerce Street
Dallas, Texas 75202
Arkansas *Oklahoma*
Texas *Louisiana*
New Mexico

Regional Commissioner
SRS Region VII
601 East 12th Street
Kansas City, Missouri 64106
Iowa *Missouri*
Kansas *Nebraska*

Regional Commissioner
SRS Region VIII
9017 Federal Office Bldg.
19th and Stout Street
Denver, Colorado 80202
Colorado *South Dakota*
Montana *Utah*
North Dakota *Wyoming*

Regional Commissioner
SRS Region IX
Federal Office Bldg.
50 Fulton Street
San Francisco, California 94102
American Samoa *Guam*
Arizona *Hawaii*
California *Nevada*

Regional Commissioner
SRS Region X
Arcade Building
1319 2nd Avenue
Seattle, Washington 98101
Alaska *Oregon*
Idaho *Washington*

Issued January 1971 by
Rehabilitation Services Administration
Social and Rehabilitation Service
Dept. of Health, Education, and Welfare
Washington, D.C. 20201

DEPARTMENT OF
HEALTH, EDUCATION, AND WELFARE
SOCIAL AND REHABILITATION SERVICE
REHABILITATION SERVICES ADMINISTRATION
WASHINGTON, D.C. 20201

OFFICIAL BUSINESS

POSTAGE AND FEES PAID
DEPARTMENT OF
HEALTH, EDUCATION, AND WELFARE

LETTER OF INTENT

This letter of intent to apply for funds under P. L. 91-517 should be completed and returned to _____ on or before ___(date)___. The letter does not bind an organization to complete a project proposal, but is required of all submitting proposals.

The priorities as established by the New Jersey Developmental Disabilities Council are enclosed and should be used in the determination of the goals for projects. Letters of intent will be screened the day following the deadline for submission. Those organizations submitting acceptable letters of intent will be sent an application kit and other related materials.

Name of Agency or Organization

Address

Telephone Number

Name of Individual Responsible for Developing Application

Type of Agency

_____ Public _____ Private Non-Profit _____ Other (specify) _____

Summary of Intended Proposal

The proposal summary should be no longer than two pages. It should contain the purpose of the project, the overall goal and the objectives designed to meet the goal. Also, a short narrative describing the activities to meet the objectives and an estimate of the cost of the project should be included in the summary. The level of project funding in previous years has ranged from grants of _____ to _____ with the average being _____. Organizations desiring to submit proposals exceeding stated figures should contact the Director of the Division of Mental Retardation.

DIVISION OF MENTAL RETARDATION
169 West Hanover Street
Trenton, New Jersey 08625

FY 1974 DEVELOPMENTAL DISABILITIES PROJECT GRANTS

DIVISIONAL RESPONSES

The following are alternative letters of response to the letter of intent and letters of response to alternative situations during the grant application process.

SAMPLE LETTERS IN RESPONSE TO THE LETTERS OF INTENT

Acceptance

Dear _____:

Your letter of intent to apply to the Division of Mental Retardation for funding for a project under the Developmental Disabilities Act has been received. We appreciate your interest in this area. Approximately _____ letters of intent were received. It is clear that it will be impossible to fund all of these proposed projects but approximately _____% will be funded for _____(year)_____.

Your proposal appears to be in accordance with the goals of the State Plan and we encourage you to continue with the development of a full proposal. An application kit and guidelines for writing the proposal are being forwarded to you under separate cover.

If we may be of further help to you, please feel free to contact my office or the Developmental Disabilities Division at any time.

Sincerely yours,

_____

Non-acceptance

Dear _____:

Your letter of intent to apply to the Division of Mental Retardation for funding for a project under the Developmental Disabilities Act has been received. We appreciate your interest in this area. Approximately _____ letters of intent were received. It is clear that it will be impossible to fund all of these proposed projects. Approximately ___% will be funded for _____(year)_____.

Your proposal does not appear to be directed at one of the goals as set forth in the State Plan. If you are interested in revising your letter of intent so that it does deal with one of the priority items, you may complete the revision and resubmit your letter of intent by ___(date)___. Only projects directed at the goals are being considered for funding.

If we may be of further help to you, please feel free to contact my office or the Developmental Disabilities Division at any time.

Sincerely yours,

_____

Alterations

Dear _____:

Your letter of intent to apply to the Division of Mental Retardation for funding for a project under the Developmental Disabilities Act has been received. We appreciate your interest in this area. Approximately _____ letters of intent were received. It is clear that it will be impossible to fund all of these proposed projects. Approximately ___% will be funded for _____(year)_____.

Your letter of intent is one of _____ submitted concerning _____(the state goal it is aimed at)_____. Since there are many in this area you might wish to revise your letter of intent to deal with one of the other goals. (Goals preferred can be listed here). If this is of interest to you, please have the revised letter in the Division of Mental Retardation by _____(date)_____. If you do not wish to alter the letter of intent notify me immediately, and we will send you an application kit and guidelines for preparing a full proposal.

If we may be of further help to you, please feel free to contact my office of the Developmental Disabilities Division at any time.

Sincerely yours,

_____

LETTER OF NOTIFICATION

Dear _____:

This is to inform you that your Developmental Disabilities project application entitled "_____" for the amount of $_____ has been received.

Your application along with all others submitted will be reviewed by a specialist in program planning and evaluation and by a specialist in developmental disabilities.

We anticipate decisions as to which projects will be funded by (date) and will notify you immediately thereafter.

Sincerely,

_____
Grant Coordinator

LETTER OF APPROVAL

Dear _____:

May I be among the first to congratulate you and your staff for the project you prepared to meet the needs of the developmentally disabled. On ___(date)___, the Division of Mental Retardation acted on recommendations to approve for funding your project entitled "_____" for approximately $_____. Although we anticipate minor budget revisions, you may proceed with your plans.

In the very near future, _____, coordinator from our staff, will be in touch with you regarding possible budget revision and operational details for financing and evaluating your project.

Once again congratulations to you and your staff for a job well done. We are certain that your project will make a notable contribution toward assisting the developmentally disabled.

Sincerely,

_____
Grant Coordinator

LETTER OF NON-APPROVAL

Dear _____:

_____ Developmental Disabilities projects were submitted to the Division of Mental Retardation for funding during the 1974 year. Due to the limited amount of money, only _____ of these could be approved for funding. Selections were made from ratings made by third-party evaluators in the areas of program planning and evaluation and in developmental disabilities content. A major factor in these ratings was the consideration of how well the program would serve to meet the priorities of the Council's state and regional goals. Many other factors, such as analysis of cost-benefit, were also evaluated.

Enclosed is a listing of those projects which were accepted for funding. I would be happy to discuss with you the reasons why your program was not recommended for funding; however, the largest factor was simply lack of funds.

If your organization has previously unreported information which you feel would justify review of your project for funding this year, appeals can be made to the Director of the New Jersey Division of Mental Retardation before ___(date)___.

We are hopeful that you will continue your concern for the developmentally disabled and that you will look to us in the future when other funding becomes available.

Sincerely,

_____
Grant Coordinator

DIVISION OF MENTAL RETARDATION
169 West Hanover Street
Trenton, New Jersey 08625

FY 1974 DEVELOPMENTAL DISABILITIES PROJECT GRANT APPLICATION

KIT

The grant application kit is intended to be an inclusive kit for the organization applying for funds. The kit includes: 1) a sample cover letter, 2) the project grant application (including such items as budget, professional staff, project summary, questionnaire on how the proposed project contributes to priorities and project plan), 3) general guidelines (including topics of concern as general program administration, financial administration, priorities of the state plan and regional priorities), and 4) assurances that must be abided according to Federal and state policy.

GRANT APPLICATION KIT

COVER LETTER

Dear _____:

Enclosed is an application kit for completing a project grant application. The application should be completed and returned to the Division of Mental Retardation by ___(date)___. A total of ____ copies of the application will be needed in the Division Office.

We look forward to receiving your application. If after studying the enclosed materials you feel that you need assistance please feel free to contact my office.

Sincerely yours,

_____
Grant Coordinator
Division of Mental Retardation

STATE OF NEW JERSEY

DIVISION OF MENTAL RETARDATION

169 West Hanover Street
Trenton, New Jersey 08625

FY 1974 DEVELOPMENTAL DISABILITIES PROJECT GRANT APPLICATION

Title of Project:

Name and Address of Applicant Agency or Organization:

Name and Title of Project Director:

Name, Title and Address of Financial Officer:

Type of Agency or Organization:

State: ____ Private nonprofit: ____

Other public: ____

Proposed Term of Project:	Total funds requested:
Anticipated starting: ____	
Anticipated completion date: ____	Total funds involved:

Terms and Conditions:

If the developmental disabilities project grant is awarded to the applicant, the applicant will carry out the project in a manner which is consistent with the information in this application, and is consistent with (a) the Department of Health, Education, and Welfare's policies regarding civil rights and human rights, and (b) the assurance required by the Division of Mental Retardation (attached).

Date

Signature and Title of Responsible Officer

PROPOSED BUDGET

PERSONNEL

Position	Annual Salary	% time on project	Amount Requested	Amount to be paid from other source
TOTAL				

CONSULTATION FEES, HONORARIA, AND VOLUNTEER COSTS

Type of Expense	Rate of payment	Unit of payment	Amount Requested	Amount to be paid from other source
TOTAL				

TRAVEL

	Amount Requested	Amount to be paid from other source
Staff Travel Expenses		
Consultant Travel		

RENTAL OF SPACE OR EQUIPMENT NECESSARY FOR PROJECT

Nature of Expense	Amount Requested	Amount to be paid from other source
Equipment Rental		
Space Rental		
TOTAL		

SUPPLIES, MATERIALS AND PUBLICATIONS

Nature of Expense	Amount Requested	Amount to be paid paid from other sources
TOTAL		

OTHER COSTS

Nature of Expense	Amount Requested	Amount to be paid from other sources
Fringe Benefits for Personnel		
TOTAL		

TOTAL BUDGET REQUEST	Funds Requested	Funds from other sources
Total Amount of Funds		
Percentage of Total Costs		

BUDGET JUSTIFICATION

Attach a narrative statement containing any information pertaining to budgetary entries, including (1) such information as is required to support entries in various expenditure categories as noted in the instructions, (2) an explanation of any entries which are not clearly justified by the information contained in the project description, and (3) an identification of sources of applicant support (other than from grant funds).

PROFESSIONAL STAFF NOW EMPLOYED

Give the following information for each professional staff member, beginning with the program Director.

Name:

Title:

Relationship to Proposed Program:

Education:

Professional Employment:

Professional Experience:

Job Description of Professional Staff to be Acquired

Title:

Salary Range:

Educational and Professional Experience Required:

Role to be Performed:

PROJECT SUMMARY

Title of Project:

Names and Official Titles of Project Director and All Other Professional Personnel:

Name and Address of Applicant Agency or Organization:

Summary of Proposed Work - (200 words or less - omit confidential data):

Indicate description which most characterizes purpose of project:

____ Facilitation of utilization of existing resources

____ Development of multi-purpose transportation systems

____ Mobilization and utilization of existing Federal social service legislation

____ Integration into general recreation and leisure time programs

____ Breaching barriers to employment

____ Development of consolidated, comprehensive diagnosis and evaluation services for substantialiy disabled adults

PROPOSED PROJECT'S CONTRIBUTION TO PRIORITIES

The following statements are overriding priorities taken from the 1973 Developmental Disabilities State Plan. Please discuss each, in the space provided, in light of how the proposed project will relate to these priorities. In the discussions, describe targets of activities, purpose of the activities, products which might result and human and monetary resources to be utilized.

Dissemination of information which will increase the activity of the developmentally disabled in community life.

Identification of resources useful to the developmentally disabled.

Fostering of collaborative relationships between agencies serving the developmentally disabled.

Gap filling or supplementary support for the developmentally disabled.

Short term training of actual or potential consumers and providers.

Utilization of program by urban or rural poor.

PROJECT PLAN

Provide a statement of the major goal of the project as well as statements of the major outcome objectives for reaching the goal. For each objective, management or administrative strategies should be identified along with procedures for evaluating their achievement and objective achievement. Finally, an estimate of cost for personnel, rental, supplies, etc. should be made for each objective. Program Planning Document A provides guidelines for facilitating this task.

The Project Plan should be submitted in the following format:

GOAL	OBJECTIVE	STRATEGY	EVALUATION PROCEDURE	COST TO MEET OBJECTIVE

8½"

11"

Finally, a narrative of less than three pages should be provided to indicate why Developmental Disabilities funds are needed and why alternative sources of funds are not available at this time. Since DD monies are not permanent, some indication should be given as to how the project might be continued at the end of the funding period.

GENERAL GUIDELINES
DEVELOPMENTAL DISABILITIES GRANTS

General Program Administration

1. Federal funds will be used to make a significant contribution toward strengthening services for persons developmentally disabled in order to improve the quality, scope and extent of such services.

2. Federal funds will be used to supplement, and to the extent practicable, to increase the level of funds that would otherwise be made available for the purpose for which the Federal funds were provided, and not to supplant such non-Federal funds.

3a. There is to be strict confidentiality of all information as to personal facts and circumstances including names and addresses and records obtained by any agency or organization to which funds are made available.

b. The use of such gathered information will be limited to purposes directly connected with administration of the developmental disabilities programs and may not be disclosed without the consent of the individual to whom the information applies or his representative.

c. Suitable regulations and procedures will be established to carry out this provision of confidentiality to protect the rights of the person.

4. The provision of services under the State Plan will be in compliance with the Department of Health, Education, and Welfare policy concerning Human Subjects.

5. No individual shall, on the grounds of race, color or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under this plan. (accordance with Civil Rights Act 1964, (42 U.S.C. 2000d et. seq.)).
The State Agency has established and will maintain methods of administration to assure these measures in each program or activity for which it receives Federal financial assistance.

6. Special financial and technical assistance shall be furnished to public and non-profit private agencies and organizations engaged in providing services and facilities for perosns with developmental disabilities in rural and urban poverty areas.

7. Standards for services provided under this State Plan shall not be lower than standards prescribed by regulations as set forth in "Minimum Standards for Service and Programs for Developmentally Disabled Persons", SRS, RSA Publication No. 180.

8. Federal (grant) funds may not constitute more than 70% of the total funds available to carry out the project. The remaining 30% must be from other, non-Federal sources.

Financial Administration

1. Federal funds will be made available to other public or non-profit agencies, institutions, and organizations.

2. Methods and procedures for properly charging the costs of activities under the plan to the program will be established and maintained in accordance with BOB Circular A - 87 and the Department of Health, Education, and Welfare instructions and regulations.

3. Fiscal controls and procedures will be developed and adopted by the State Agency or agencies as may be necessary to assure the proper disbursement and accounting of funds paid to the State and to other grantees, in accordance with 45 CFR 416135.

Policies and Procedures of the State Planning and Advisory Council on Developmental Disabilities

I. The following policies shall be used in developing better systems of services to the developmentally disabled:

A. Programs of service to the developmentally disabled should be developed on a planned and orderly basis with centralized coordination and direction. As part of this activity the State Planning and Advisory Council should consult with all agencies currently rendering significant service to the developmentally disabled so as to identify and seek agreement as to the respective roles of each agency in providing the sixteen services identified in the Act.

B. Sufficient service alternatives should be available so that the developmentally disabled person has ready access to that service or group of services which most efficiently meets his needs, and which causes the least disruption to ordinary activities of daily living.

C. Services to the developmentally disabled should be oriented around the needs of the individual rather than around diagnoses. In establishing programs for the developmentally disabled diagnostic categories are significant only to the extent that they contribute to a course of treatment and service.

D. Agencies already committed to rendering generic services to the developmentally disabled should be encouraged to expand the extent of such service and to broaden their scope.

E. Diagnostic services should be readily available to all persons suspected of lagging in development without any requirement, expressed or implied, that a pre-diagnosis be established as a condition of service.

F. In locating service programs recognition should be given to the usual travel patterns of the person in a particualr area in seeking any kind of service. Innovative and improved methods of getting persons to service or services to persons will be encouraged.

G. Special efforts shall be made to maximize resources in those areas of the State so thinly populated and geographically so spread out that development of either single services or services for a single diagnostic group are unlikely or impractical.

H. Special recognition shall be given to the development of services to both the urban and rural poor, and to the possibility that traditional methods of offering services to such groups might be inappropriate.

I. Eligibility and admission requirements for various services should be sufficiently broad and flexible so as to enable ready movement between services when required by changing needs of the developmentally disabled person.

J. Residential facilities and their resources shall be considered a part of the total spectrum of services rendered in that area. Services outside the residential facility should be made available to residents of institutions.

K. A coordinated system of information and referral should be available to parents and other persons seeking to assist parents in obtaining appropriate service for the developmentally disabled person. Such a system should include informing the public regarding availability of service from the center itself, and specific and precise information on services appropriate and available to the developmentally disabled person.

L. Where separate facilities already exist they should be encouraged to serve as part of a network of services, and to develop cooperative arrangements for the delivery of programs or service.

M. Special emphasis should be placed on the development of services available to the very young and adult developmentally disabled person.

N. Protective services for the developmentally disabled should be made available either as a separate service or as part of a group of services.

O. Other policies that may be developed at a later date will also be used.

II. The following categories will be utilized in evaluating individual projects for funding:

A. Priorities of 1973 State Plan: The overall extent to which proposal addresses itself to the following stated goals and objectives in the 1973 State Plan.

No project will be approved under the 1973 State Plan if it is determined that other sources of funds are more appropriate to carry out the purpose of the project. The applicant must demonstrate how his particular project will augment or complement rather than duplicate efforts already being carried out on behalf of the developmentally disabled.

The overriding State priority is the enhancement of the quality of life for the developmentally disabled of the State through activities which increase their participation in community life and in all of the existing service systems; such activities may include but are not limited to dissemination of information, identification of resources, fostering of collaborative relationships between agencies, gap-filling or supplementary support, and short term training of actual or potential consumers and providers.

The 1973 State Plan priority goals are:

1. The facilitation of utilization of existing resources by developmentally disabled people.

2. The development of new, innovative, multi-purpose transportation systems designed to serve the developmentally disabled in many ways and within a geographical area, as opposed to the kind of system which is attached to and used solely or primarily to facilitate the rendering of a specific service program.

3. The development of various kinds of community centered semi-independent living arrangements for youths and adults. Such facilities would serve as alternatives to institutional care and would foster the normalization of developmentally disabled individuals.

4. A mobilization designed to utilize existing federal social service legislation and programs to the optimal advantage of the developmentally disabled in New Jersey, and the development of a functional coordinated system of protective services, including guardianship.

5. The integration of developmentally disabled individuals of all ages into generic recreational and leisure time programs with particular regard to such programs which are under public (municipal, county, State) auspices.

6. Evaluation of the extent and characteristics of barriers to employment of certain categories of developmentally disabled persons due to employers' or insurance companies' attitudes and demonstration of successful methods of breaching barriers to employment. Stress in this area should be given to

those barriers to employment which are based upon the views and actions of others rather than being intrinsic to the developmentally disabled itself.

7. The development of consolidated, comprehensive diagnosis and evaluation services for substantially developmentally disabled adults (e.g. through inclusion on a demonstration basis of such programs in Health Maintenance Organizations (HMO) currently under implementation).

Please note that these priorities are on a state-wide basis and go beyond the definitions of the sixteen services. Regional variations in the order of service priorities are indicated in Chart # 1.

B. Feasibility: The degree to which the proposal itself actually is designed to meet its own stated goal or objective; the likelihood of accomplishing what is proposed; practicality in terms of budget request; financial and other resources of applicant relative to continuation of project beyond the initial funding period.

C. Coordination: The degree to which the proposal provides for increased integration and coordination of service; extent to which definite agreements for interagency cooperation are provided; degree to which the proposal provides a basis for increased interagency cooperation; relationship of proposed program to a regional network of coordinated services for the developmentally disabled; how the proposal conforms to long-range plans to improve availability of service.

D. Poverty Areas: The degree to which the proposed project considers and attempts to meet the needs of the urban or rural poor; the extent to which the proposal is specifically designed to encourage utilization by urban or rural poor.

E. Efficiency: Adequacy of project design in accommodating to identifiable needs in area of State to be served; the extent to which it capitalizes on existing and possibly under-utilized resources in the area; the degree to which the proposal closes existing "gaps" in service; the possibility of other more efficient ways of achieving the same goals through alternate means; the availability of alternate and possibly more suitable State or federal funds to achieve purposes of proposal.

F. Accessibility: The degree to which the proposal incorporates mechanisms to inform people as to existence and availability of service; extent to which the proposed service is free of restrictions due to age, disability or other factors; the degree to which the proposal considers location of facility and transportation so as to increase accessibility.

G. New or Improved Methods: The proposal's potential as pilot or demonstration project dealing with new or improved methods of rendering service; the likelihood that the proposal should serve as a model for similar service in another location.

H. Continuity: Priority will be given to the renewal of projects already funded under P. L. 91-517. Any project funded under a multi-year proposal will be evaluated in terms of fulfilling its states objectives and in terms of its conformity to the Council's priorities.

CHART # 1

This chart is for the purpose of presenting the ranking of priorities within each region and is also to indicate the weight that each priority will be given in relation to other regional priorities when reviewing grant applications.

The vertical columns are ranked in accordance with designations of greatest need for services and facilities, Region IV being in the greatest need and Region II having the least need. The horizontal columns have the priorities of each individual region as they have been ranked from most important to least important.

To elaborate, priority A-1 (Utilization of existing resources, Region IV) supersedes all other priorities since Region IV has been designated as the area of greatest need. Priority A-2 (Multi-purpose transportation systems, Region IV) and priority B-1 (Utilization of existing resources, Region I) are to be considered of equal weight. This continues until priority D-10 (Barriers to employment which are based upon the views and actions of others, Region II) which is of least importance.

PRIORITIES	REGION IV (A)	REGION I (B)	REGION III (C)	REGION II (D)	PRIORITIES
1	Utilization of Existing Resources				
2	Multi-purpose Transportation Systems	Utilization of Existing Resources			
3	Integration Into Generic Recreational and Leisure Time Programs	Barriers to Employment Which are Based Upon the Views and Actions of Others	Utilization of Existing Resources		
4	Utilization of Existing Federal Social Service Legislation Towards the Development of Functional Coordinated System of Protective Services	Utilization of Existing Federal Social Service Legislation Towards the Development of Functional Coordinated System of Protective Services	Community Centered Semi-Independent Living Arrangements	Utilization of Existing Resources	1
5	Diagnosis and Evaluation Services for Substantially Developmentally Disabled Adults	Multi-purpose Transportation Systems	Integration Into Generic Recreational and Leisure Time Programs	Multi-purpose Transportation Systems	2
6	Community Centered Semi-Independent Living Arrangements	Integration Into Generic Recreational and Leisure Time Programs	Multi-purpose Transportation Systems	Community Centered Semi-Independent Living Arrangements	3
7	Barriers to Employment Which are Based Upon the Views and Actions of Others	Community Centered Semi-Independent Living Arrangements	Barriers to Employment Which are Based Upon the Views and Actions of Others	Integration Into Generic Recreational and Leisure Time Programs	4
8		Diagnosis and Evaluation Services for Substantially Developmentally Disabled Adults	Utilization of Existing Federal Social Service Legislation Towards the Development of Functional Coordinated System of Protective Services	Utilization of Existing Federal Social Service Legislation Towards the Development of Functional Coordinated System of Protective Services	5
9			Diagnosis and Evaluation Services for Substantially Developmentally Disabled Adults	Diagnosis and Evaluation Services for Substantially Developmentally Disabled Adults	6
10				Barriers to Employment Which are Based Upon the Views and Actions of Others	7

DIVISION OF MENTAL RETARDATION

169 West Hanover Street
Trenton, New Jersey 08625

FY 1974 DEVELOPMENTAL DISABILITIES PROJECT GRANT APPLICATION

ASSURANCES

As a condition to receiving a developmental disabilities project grant, the applicant must agree to the following terms:

That all information obtained as to personal facts and circumstances in pursuing the project will be held confidential and will not be divulged without the individual's consent except as necessary to provide services to him. That any information to be disclosed will be in summary, statistical, or other form which does not identify particular individuals.

That no individual will be denied employment, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination on the grounds of race, color, religion, sex, or national origins.

That the applicant will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and all requirements imposed by or pursuant to the Regulations of the Department of Health, Education , and Welfare issued pursuant to the title, to the end that, in accordance with Title VI of that Act and the regulations, no person in the United States shall, on the grounds of race, creed, color, sex, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant received financial assistance under P.L. 91-517, known as the Developmental Disabilities Act, and hereby gives assurance that it will immediately take any measures necessary to effectuate the agreement.

That the applicant is not, and will not be, in violation of the Department of Health, Education, and Welfare's policy regarding human rights.

That the conduct of the project will be aimed toward making a contribution to the statewide quality, extent, or scope of community services for the developmentally disabled; that consideration will be given to the involvement of consumers and residents in which services are to be located in the planning, management, and operation of such services; that consideration will be given to provisions for making available a reasonable volume of services to persons unable to pay therefore; that consideration will be given to provisions for making such services available on a non-exclusionary, non-discriminatory basis; and that special consideration will be given to the needs of areas of urban and rural poverty.

Assurances - cont'd.

That accounting for project funds will be maintained in accordance with that applicant agency or organization's accounting practices, if consistent with generally accepted accounting principles, and that all supporting records of project expenditures will be maintained in sufficient detail to show the exact nature of expenditure.

That financial data will be maintained to meet the following minimum requirements:

(a) Itemization of all supporting records of project expenditures in sufficient detail to show the precise nature of expenditures;

(b) Provision of data and information for each expenditure with appropriate reference to a supporting purchase order, contract, or bill properly approved;

(c) Maintenance of payroll authorization to effect proper control of salaries and wages, approved by an appropriate authority in the applicant agency or organization;

(d) Maintenance of payroll vouchers and checks for salaries and wages;

(e) Maintenance of adequate records supporting charges for fringe benefits;

(f) Provisions for payment of expenses primarily by check, with redeemed checks maintained for audit examination. When cash disbursements are made, they must be supported by receipts.

That all records will be maintained for a period of five years or until an audit has been made, whichever is less.

That the applicant will make such records available to the authorized representatives of the Division of Mental Retardation on request.

That the applicant will make such reports in such form as are requested by the Division of Mental Retardation during the project period.

That the applicant will submit an expenditure report and a project product as promised in the approved application to the Division of Mental Retardation within sixty (60) days after the completion of the project.

That, upon termination or completion of the project, any unexpended funds attributable to the grant will be refunded to the Division of Mental Retardation.

That the applicant certifies under the penalties of perjury that the following sets forth the names and addresses of all persons having a financial interest in this contract.

NAME	ADDRESS

That the undersigned is authorized to make these assurances on behalf of the applicant, and assures compliance by his signature.

Legal Name of Applicant(s): _____

_____

_____

Name and Title of Responsible Officer(s): _____

_____

_____

Signature(s) of Responsible Officer(s): _____

_____

_____

Date: _____

DIVISION OF MENTAL RETARDATION
169 West Hanover Street
Trenton, New Jersey 08625

FY 1974 DEVELOPMENTAL DISABILITIES PROJECT GRANT APPLICATION

PLAN DEVELOPMENT - DOCUMENT A

PLANNING FOR EVALUATION: SOME TECHNIQUES AND RATIONALE - DOCUMENT B

Used with the Grant Kit, these two documents should aid the organization in the application process. One provides a brief overview of what should be considered in plan development while the other discusses the evaluation process.

DOCUMENT A

PLAN DEVELOPMENT

What are the essential elements in the proposal plan?

In the process of organizing a plan for services to the developmentally disabled, special attention needs to be given to the development of goals, objectives and strategies.

Goals and goal statements are used by a project to highlight its intentions. In other words, goals specify what will happen to a target population as a result of services delivered. Goals are abstract and are often based on assumptions and value judgments, but they do give the general direction and purpose of the project activities. However, goals do not lend themselves to a clear statement of a project's operational plan.

In order to move toward a precise statement, more specific intentions which include measurable indices and time limits are necessary. This requirement is accomplished by stating objectives which describe what will be done by the project during its operations and how they are related to the goals. Once operations are begun, the assumption is that if a positive evaluation of the specific objective results, then the project is in the process of meeting its goals.

Strategies indicate the procedures required to meet an objective. A strategy statement describes what will be done in project operations, including when, by whom and by what procedure or technique. On the other hand, objectives reveal expected changes in behavior or attitude of the target population. In reality the strategy statements used in this document could be considered as another form of objective. The distinction is that strategies depict the actions required to reach an objective. In this work, then, strategy statements are oriented toward procedures and methods while objectives will describe the products or results desired in a set of activities.

The following two charts should help to clarify the distinction being made between goals, objectives and strategies by providing examples.

DISTINCTION BETWEEN GOALS AND OBJECTIVES

GOALS	OBJECTIVES
Show general intent and direction	Some specific intentions with measurable indicies and time limits.
The project will improve language development in young handicapped children.	To improve, beyond normal expectations, the receptive vocabulary and complexity of expression in retarded children in our center by June 1, 1974.
The project's parent program will increase parental involvement with children.	To increase over baseline performance parental verbal interaction (non-hostile) with child by June 1, 1974.
	To develop a language curriculum for three-year old language-impaired children by November 1, 1974.

DISTINCTION BETWEEN OBJECTIVES AND STRATEGIES

OBJECTIVES	STRATEGIES
Represent statements of expected project benefits.	Useful for program management and progress reports.
To increase parents' personal non-hostile interactions with their children by 25% over baseline by June 1, 1974.	Establish a parents counseling group that meets once a month during 1974.
To improve by a significant amount the language skills of children in expressive language during this school year. (Significance will be determined for each child based on his developmental profile).	Hire three qualified speech teachers and 2 aides to deliver service to the children by May 1, 1974.

What is the evaluation responsibility of the proposed project?

Once goals, objectives and strategies are developed for the plan, an evaluation procedure should be defined. Procedures may vary, but, generally, evaluation will provide a decision maker with information about (1) the merit of plans, (2) the processes being utilized, or (3) the product that has resulted from activities.

The evaluation of the merit of plans provides information about the worthiness of goals, objectives and strategies. It is usually accomplished by the use of expert review or outside consultation. For example, the state agency will utilize a "third party" evaluation system to evaluate the merits of proposed plans for Developmental Disabilities grants.

While the state agency will assume the responsiblitiy for evaluating the proposed plan, the project and project director will have to assume some responsibility for determining how well the objectives and strategies in the plan are working. To do so, the projects need to develop a form of on-going or process evaluation and a results-oriented or product evaluation.

Evaluation of processes being utilized occurs when operations of the project are monitored to assess whether strategies and activities are working on a daily basis as planned. Process evaluation data can be summarized to assess how well the project is doing in meeting its objectives and can therefore be used to provide information for product evaluation.

Product evaluation is a summary of information taken over an extensive period of time and reveals information about what a target population was like when a program started and what the population was like after the activities of the project were complete. Process evaluation focuses on the effects of treatment of individuals over brief periods of time; product evaluation is used to produce data about changes among groups of people over long periods of time.

The type evaluation discussed in this work requires that program or project plans contain reasonable and precise goals, objectives and strategies. The following chart provides sample results from using this system.

EXAMPLE OF THE RELATIONSHIP OF A GOAL, OBJECTIVE AND STRATEGY TO EVALUATION RESULTS

STATEMENT	EXAMPLE	EVALUATION RESULTS
*GOAL	The project's parent program will increase the parent's knowledge, understanding, care and training of their exceptional child so that the child is able to enroll in a normal classroom by age seven.	Unknown at this time
*OBJECTIVE	To increase by 40% over baseline the positive attitude of the parents regarding the acceptance of the child's handicapping conditions by the end of his first year in the program.	As a group, parent's postive attitude toward the acceptance of the child's condition improved by 50% as measured by a center made criterion references tests used in a pre-post manner. (See Appendix). When asked directly by staff at the end of the year if they felt they were better able to cope with the child, and associated problems, 95% of the parents said they were. (See comments in Appendix).
*STRATEGY	To have at least one parent attend 75% of the weekly meetings during the school year in which the major topic of discussion will be problems dealing with children.	Attendance at meetings kept by staff indicated that one member of the families attended 82% of all meetings. A content analysis of the anecdotal record of the meeting indicated that problem with children was the topic of discussion in 90% of the meetings.

*NOTE: Other objectives related to goal are needed in actual program practices.

Any other hints for plan development?

Since objectives of the type described in this document tend to be difficult to develop, Appendix A offers some additional examples. In it, objectives are parallelled with goals, strategies and evaluation-methods.

A project director will need to make a somewhat arbitrary decision about how many objectives are needed to describe procedures and how much data should be collected in the evaluation of those objectives. Strategies, especially administrative strategies, are relatively easy to specify and evaluate; thus, the number does not seem overly important. However, it is recommended that a project focus on one or two goals with four or five objectives associated with each. The reason for this is that the process of collecting, analyzing and describing data results can become overwhelming. Unless specially funded for that purpose, it is questionable that the project would want to allocate a large amount of its total resources and time to the problem of data processing.

Appendix B offers some model-structures which might be useful when writing goals and objectives.

How should objectives be costed?

The Proposal Plan requires that costs for meeting objectives be given by objective. The cost figures will be estimates and the project will not be held accountable for exact figures. The estimates should include the cost of personnel, consultants, travel, rental, supplies in direct costs, and any other expenses for meeting each objective. It is not necessary that the cost for each objective be itemized. If budget revision is necessary, the agency will examine the possibility of suggesting the deletion of objectives as a method of reducing the overall budget requirements.

Why is a precise statement of a project's plans important?

There are many reasons that specification of plans are useful, but three seem to stand-out. They are the following:

1. Guidelines - Theoretically, well stated plans should be an asset to a project's staff. Knowing the purpose and direction of an organization, should reduce anxiety and facilitate decision-making which is congruent with the goals of the project.

2. Information - Well stated plans can be used to communicate to others what a project intends to have happen as a result of its activities. Targets for such information might include the funding agency, any targets for replication or even information for parents whose children participate in the project's program.

3. Evaluation - Planning is the core to the concept of evaluation which is presented in this document. The belief is that evaluation should be related to statements of intents. Document B, "Evaluation", presents this idea in a detailed analysis.

Adapted by R. Surles from J. Gallagher and R. Surles, Program Planning and Evaluation, the Frank Porter Graham Child Development Center, Chapel Hill, North Carolina, 1972.

DOCUMENT B

PLANNING FOR EVALUATION: SOME TECHNIQUES & RATIONALE

PLANNING FOR EVALUATION: SOME TECHNIQUES & RATIONALE

What is evaluation?

Evaluation can be defined as a set of techniques which provides a decision maker with information about (1) the merit of plans; (2) the processes being utilized; or (3) a product that has resulted from activities.

Plan review provides information about the worth and value of goals. One method by which this can be accomplished is the use of professional or citizen review of objectives and strategies prior to their implementation. The rationale for this approach is that most service programs for the developmentally disabled lack a large data base useful for decision making and evaluation. Thus, most intervention programs are quite unique. The pre-implementation review allows the base line for an evaluation situation to be established after which projects attempt to place into operation the objective and strategy sanctioned by both professionals and citizens.

More direct evaluation information can be provided through the systematic collection of information. Two techniques are discussed here - process and product evaluation.

Process evaluation occurs when one monitors the daily operations of a project. It is used to assess whether activities, strategies and treatment are working on a daily bases as planned. The concept is relatively simple but it can be time consuming since frequent collection of data is required. Chart I provides an example. Note that only one of the possible strategies is listed.

Chart 1

Example Process Evaluation

Objective	Strategy	Monitor	Sample Data
To increase child's self-help skills so that by June 1, he can feed himself without the aid of others.	Child able to feed self.	Anecdotal record for one child.	Oct. 1 - Child can feed self finger food. Oct. 4 - Child interested in holding spoon, but not able. Oct. 10 - Child holds spoon poorly, drops often.

There are many kinds of indicies one could utilize when collecting data for each objective being subjected to process measures. The objective in chart 1, for example, relates to increasing a child's ability to feed himself. Information about this objective could be collected in a variety of environments, e.g., the home, the classroom, on field-trips. Moreover, this data would provide feedback as to how well the child was doing. It would also be summarized to report how well the project was doing in meeting this objective for all children; thus, providing information for product evaluation.

Whereas process evaluation provides information for daily decision-makers, product evaluation is a summary of information taken over a more extensive time frame (e.g., one month, six months, one year). In essence, it reveals information about what a target population was like when a program started, and what the population was like after treatment. Where process evaluation focused on the effects of treatment on individuals over brief periods of time, product evaluation is used to produce data about changes among groups of people over long periods, e.g., one year. Chart 2 provides an example.

Chart 2

Example of Product Evaluation

Outcome Objective	Task	Monitor	Sample Data
To increase each child's self-help skills so that by June 1 they feed selves without the aid of others.	Children able to feed themselves unaided.	1. Pre-post observation of criterion behavior. 2. Anecdotal record.	On November 1 only 10% of the children could do the eating activities unaided (N=25). By June 1, 96% of the children were eating without the aid of others.

As the above example suggests, information gathered for process evaluation, in this case the anecdotal record, can be summarized for product results.

Chart 3 contains an overview of potential product evaluation techniques that one might utilize to obtain data on the outcomes of extended treatments. Techniques are classified according to type of measurement device (standardized or non-standardized) and by target group (clients or decision-makers). Note that most of these techniques could be used in process evaluation. For example, attendance reports and records of contacts

can be used for an indication of how treatment or programs are progressing. A summary of this information (e.g., total attendance and contacts) provides an indication of overall achievement of the related objectives.

Chart 3

TECHNIQUES FOR PRODUCT EVALUATION

Measures	Client Group	Decision Makers
STANDARDIZED	- standardized tests - standardized informant-interview scales - established observation and behavior analysis schemes	
NON STANDARDIZED (at present)	- attendance at program - number sent on to regular programs - report-check-list, rating scales, letters - teacher report, check-list, rating progress report scales - anecdotal records - case studies by clinician	- recording number of: - requests to center for consultation - referrals of children by other agencies - observations and visits to school - brochure circulation - speaking engagements by staff - reports in newspaper articles, T.V., stories, magazine pieces, articles in journals - contacts with other agencies - presentations to groups

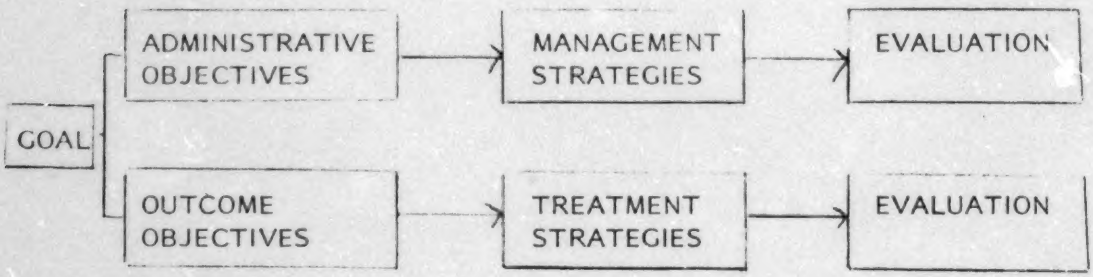
Techniques for Product Evaluation (Cont'd.)

Measures	Client Group	Decision Makers
	- records of criterion behavior met	- follow-ups of workshops and demonstration activities for feelings about presentation of part of it
	- informant interview scales	
NON STANDARDIZED (at present)	- observation and behavior analysis schemes, applied to behavior observed on video tape	- record of new facilities, modeled after yours
		- noting changes in budgeting that allow funds to the handicapped
	- letters or testimonials	
		- straw polls of agencies and city about knowledge of project

Is evaluation the same for all objectives?

Objectives can be divided into two types - administrative and outcome. This functional division is also associated with different degrees of evaluation difficulty. The administrative objectives are related to management while evaluation of outcome objectives focuses on changes in the behavior of a target group (Chart 4).

Chart 4



The evaluation of administrative objectives is much less difficult than evaluation of outcomes. Most administrative objectives reveal very specific actions and result, such as, "select 25 disabled adults for program", "hire two training specialists", "develop a language curriculum". The reaching of these objectives can generally be reported in a "yes" or "no" fashion or the description of some artifact (e.g., a manual for the teaching of language). The procedures necessary for collecting data for this evaluation require mostly record-keeping and counting activities. (See chart 5).

Chart 5

Evaluation of Administrative Objectives

OBJECTIVE	POSSIBLE MONITOR	SAMPLE DATA			
To have one parent from each family spend ½ day per week observing teachers at center	Attendance record		WEEKS 10/8	10/15	10/22
		Smith	x	x	x
		Jones	x	x	x
To have 10 other agencies aware of the services we offer and to have 5 of them use it by 6/1/74	Records of referral	Agency	1st Referral		Total
		Social	6/1/73		5
		Dept. of Ed.	1/20/73		1
		Mental Health	2/1/73		11

On the other hand, the evaluation of outcome objectives is much more difficult since they deal with human behavior. Such objectives as "increase the expressive language of language impaired children by a significant amount by June 1", or "decrease by 50% the inappropriate behaviors of developmentally disabled children by May 1" might require educational testing or observational analysis. As a result of the difficulty of measure, the use of the clusters of informal measures as a supplement to standardized measurements is recommended. Chart 6 demonstrates the clustering of two measures to reveal information about one objective.

Chart 6

EXAMPLE OF EVALUATION OF OUTCOME OBJECTIVE

Target	Objective	Technique - Pre-Post	Sample Data
	To decrease inappropriate behaviors of all residents in the project so that they are able to function emotionally and socially in group activities.	1. Observational Analysis Aide's charts behaviors for 3 day period, 1 hour per day in group setting in October, January, March. A "-1" score is given for each inappropriate behavior. 2. Anecdotal records The anecdotal record is kept on each person for the year. The initial week and one weekly chart (3rd) in March are given to 3 outside observers for a blind comparison of which is behavior more appropriate.	At the start of the year each resident was observed in group activity so that a baseline score for disruptive behavior (d.b.) could be obtained. D.B. was defined as behavior which required the attention and correction of the staff. On the whole, the initial group score was -95. By January this score was -35 and in March -5. Anecdotal records indicate that all but 2 of 25 residents are now considered functioning well in group activities as compared with 15 of 25 in October.

Who should conduct the evaluation?

At present, there are several sources one might use for evaluation. Some projects have a staff evaluator who is responsible for all data collection and reporting. A few projects have used outside consulting firms whose personnel develop the evaluation design and prepare the report Finally, others have relied on some of their own personnel, aided by an outside evaluation consultant or group. Any of these sources can produce good results and each project will have to decide which method best meets its needs.

Why are requests for data and information made?

Projects need to collect at least two kinds of data - one to meet their own internal evaluation and decision-making needs and the other to meet requests by external agencies, such as the Office of Mental Retardation, for information about their successes or problems.

The most obvious reason a funding agency requests data from projects is that demands are made on it, the agency, for information about how monies are being spent and what services are being rendered. Also, data from a network of programs can help the agency decide how to allocate future funds to help programs meet their objectives, and how to best utilize its own personnel. Moreover, data from a network of Projects actually aids a funding agency in its advocacy for the projects and their programs. When time comes for budget decision on a policy level, good data can greatly influence the allocation of resources for all projects.

Why do data demands vary so much in type and required activity?

Frequently data requests from a parent agency to a local project may seem highly inconsistent. For example, while a project director is asked if he needs help in establishing program components, he may be told to prove he is having success in working with clients. The problem becomes one of having to provide data about areas of potential weakness to the funding agency while at the same time having to demonstrate strength.

Thus, one is in conflict about how much "weakness" data to reveal and how to emphasize the "strength" data.. In reality, the two kinds of data would probably not be intended for the same decision-making sources but represent questions and demands from different sources within the same governmental structure. Confusion might arise because the parent agency is, itself, responding to demands for data by other agencies.

Chart 7 attempts to provide examples of evaluation questions and needed data in which decision-makers at various levels might have an interest. Sample procedures for collecting data are also provided.

Chart 7

DECISION MAKERS AND EVALUATION QUESTIONS

Decision Maker	Questions	Data Needed	Procedures for Data Collection
Developmental Disabilities Council	Which are most important goals?	Establishment of priorities by political and peer consensus.	National Advisory Groups and Consultants meet & provide consensus.
	Which programs can meet the goals most effectively?	The relative cost of potential program alternatives.	Cost effectiveness analysis.
	Which programs can be defended effectively?	Evidence that programs are meeting objectives.	Data from programs relative to success. Case histories and statistics needed.
State Agency	Which of the individual sites are of high quality?	Data related to criteria of high performance expectations.	Site visits and panel reviews.
	Which elements need to be changed to strengthen program? (Staffing, operations, consultation)	Data on consistent strengths and weaknesses across program units.	Reports from staff visits, progress reports, renewal applications.

Decision Makers and Evaluation Questions (Cont'd.)

Decision Makers	Questions	Data Needed	Procedures for Data Collection
Program Director	Are my goals worthwhile and feasible?	Local Advisory Group subscription to goals.	Continued consultation and advice from citizens and professional peers.
	How can I operate my program more effectively?	Management analysis of cost vs. performance.	Evaluation of effectiveness of management objectives - pert charts, time lines, etc.
	Am I really Having Impact on the Problem I am Attacking?	Data on change or on criterion performance by children or ultimate target of program.	Evaluation Plan for Impact and Change for Major Program Targets.

What are the major types of data one might collect through evaluation?

There are three basic types of data which a project could pass-on to its funding agency (or other sources it wishes to influence) - input, process and product. While all three types should be collected, process and product data can be especially useful in meeting varying requests for data by the funding agency.

Input data describes the resources available in the operation of a project (e.g., salary of staff, number of personnel, number of clients). It has the advantage of being relatively easy to collect and analyze.

Process data provides information on the actual daily operation, treatments and strategies of programs. The collection of this kind of information requires the specification of what is expected to occur daily and a method of checking to see if it, in fact, did. While useful for internal project decision-making, this type data in raw form, (e.g., daily attendance records of parents in center) may have little meaning for anyone other than those closely associated with the project. But summative information (e.g., total parents attendance for year) from process evaluation may be useful as product data.

Product data should describe how effective the project was in meeting its objectives. For example, if a project's objective was to have "75% of all children feeding selves" by June 1, 1974, and on June 1 they found that 80% of them could, then they can report the objective met. Projects developing this type data will probably find it useful in "selling" their programs to the funding agency and other interested parties.

(Adapted by R. Surles from J. Gallagher and R. Surles, Program Planning and Evaluation, The Frank Porter Graham Child Development Center, Chapel Hill, North Carolina, 1972.)

APPENDIX A

EXAMPLES OF GOALS, OBJECTIVES, STRATEGY AND EVALUATION

GOAL	OBJECTIVES	STRATEGY	EVALUATION PROCEDURE
The Model Project through its Parent Program Information Exchange, will increase Parent's knowledge about and acceptance of their child.	1.1 *By the end of the first year of the Parent Program, parents enrolled in the program will increase knowledge of child growth and development by 30%.	1.1 Group meetings between staff and parents in which the continuous growth and development of the child is explained by the staff.	1.1 Increase in knowledge of growth and development is measured by a criteria-referenced test administered in a pre and post fashion.
	2.1 *By the end of the second year of the project, parents' long range expectations for their handicapped children will shift in a more positive direction.	2.1 Periodic meetings are planned and led by parent members in which they discuss their children, present and future.	2.1 Long range expectations are assessed by pre and post written expectations by parents and judged independently by 2 project staff members having daily interaction with the children.

GOAL	OBJECTIVES	STRATEGY	EVALUATION PROCEDURE
Project Parent Program will reduce anxieties caused by fear or guilt feelings due to the pressure of a handicapped offspring in the family.	1.1 *To reduce, by the end of the second year of the project, anxiety by a significant amount in 90% of the parents.	1.1 Parent group discussion in which parents discuss their efforts to help their child on the problems they have encountered in such effort.	1.1 Records will be kept listing parents who participate and their time of involvement.
		1.2 A social worker will be assigned and will be available to each parent 2 hours a week for individual counseling.	1.2 Anxiety levels will be measured by a scale (the IPAT 8-Parallel Form Anxiety Battery) as the parents enter the program and at the end of the second year.
	*One of several potential objectives which could be related to the goal.		

GOAL	OBJECTIVES	STRATEGY	EVALUATION PROCEDURE
The Project will actively attempt to encourage and create replication of its philosophy, programs and components.	1.1 To increase the Community support or group homes by disseminating information on the project's philosophy, success with young adults and its potential worth to the total community.	1.1 Weekly ½ hour T.V. show utilizing supportive parents and other local persons. 1.2 Bi-Monthly news releases which emphasize human interest success stories. 1.3 Workshops given to local business men and political leaders emphasizing the cost effectiveness of the approach.	1.1 A questionnaire on attitudes toward group homes and on support for it to be given to a random sample of 150-200 local citizens at the beginning of the project and one yearly therafter.

APPENDIX B

DESCRIPTION OF GOALS AND OBJECTIVES

SAMPLE STRUCTURES FOR GOALS AND OBJECTIVES

1. Goal

a. Model - The _____ Project through its
(Title)

_____ Program for _____
(Descriptors) (Whom)

will _____ _____
(Action Verb) (What) (For What

_____ .
General End)

b. Example - The Newton Project through its Developmental Training
(Title) (Descriptors)

Program for exceptional foster children will increase the
(Whom) (Act. Vb.)

developmental level of project children so that the children
(Wh (For What

remain in the foster home.
General End)

c. Examples of Verb Frequently Associated with General Output Objectives -

Provide	Increase	Enable
Offer	Promote	Decrease
Change	Train	

2. Administrative Objective

a. Model - To _____ _____ _____
(Implementing Verb) (What) (For

_____ _____.
What Outcome) (By When)

b. Example - To develop a continuum of programs to meet the learning
(Impl. Vb) (What) (For

needs of children (0-6 years of age) served by the project by
What Outcome)

June 1, 1974.
(When)

c. Examples of Verbs Frequently Associated with Administrative Output Objectives -

Coordinate	Interview	Create
Prepare	Organize	Construct
Initiate	Devise	Investigate
Identify	Refine	Develop
Establish	Individualize	Plan
Locate	Obtain	Compose
Implement		

3. Outcome Objective

a. Model - To _____ _____ _____
(Action Verb) (What Behavior) (Of Whom)

_____ _____ _____.
(With What Specific Results) (By When)

b. Example - To increase the expressive language of each child so
(Act. Vb.) (What Behavior) (Of Whom)

that expressive language is within four months of his receptive
(With What General and/or Specific Results)

Language level by the end of the year.
(By When)

c. Examples of Verb Frequently Associated with Behavior Output Objectives -

Involve	Stimulate
Acquaint	Reduce
Inform	Change
Improve	Liberalize
Access	Increase
Prevent	Decrease

DIVISION OF MENTAL RETARDATION
169 West Hanover Street
Trenton, New Jersey 08625

FY 1974 DEVELOPMENTAL DISABILITIES GRANTS

THIRD PARTY EVALUATION GUIDELINES

This material is for use by the third party evaluators in their review of grant applications. Scoring should be provided to the State Mental Retardation Agency.

THIRD PARTY EVALUATION OF
PROPOSED PROJECT'S CONTRIBUTION TO PRIORITIES

TOTAL EVALUATION SCORE ____

Grant applicants were asked to respond to the following:

The following statements are overriding priorities taken from the 1973 Developmental Disabilities State Plan. Please discuss each, in the space provided, in light of how the proposed project will relate to these priorities. In the discussions, describe targets of activities, purpose of the activities, products which might result and human and monetary resources to be utilized.

Based on your knowledge and perspective, please rate their response on the following scale:

2 - Clear and accurate statements which are responsive to goals of the Council

1 - Probably responsive to guidelines but statements lack clarity

0 - Probably not responsive to guidelines

Dissemination of information which will increase the activity of the developmentally disabled in community life.

Information targets

Feasible?	2 ____ 1 ____ 0 ____
Worthwhile?	2 ____ 1 ____ 0 ____

Changes sought in target

Feasible?	2 ____ 1 ____ 0 ____
Worthwhile?	2 ____ 1 ____ 0 ____

Project resources

Feasible?	2 ____ 1 ____ 0 ____
Within Budget Limitation?	2 ____ 1 ____ 0 ____

Sub Total ____

Identification of resources useful to the developmentally disabled.

Information targets

Feasible?	2 ____	1 ____	0 ____
Worthwhile?	2 ____	1 ____	0 ____

Changes sought in target

Feasible?	2 ____	1 ____	0 ____
Worthwhile?	2 ____	1 ____	0 ____

Project resources

Feasible?	2 ____	1 ____	0 ____
Within Budget Limitation?	2 ____	1 ____	0 ____

Sub Total _____

Fostering of collaborative relationships between agencies serving the developmentally disabled.

Information targets

Feasible?	2 ____	1 ____	0 ____
Worthwhile?	2 ____	1 ____	0 ____

Changes sought in target

Feasible?	2 ____	1 ____	0 ____
Worthwhile?	2 ____	1 ____	0 ____

Project resources

Feasible?	2 ____	1 ____	0 ____
Within Budget Limitation?	2 ____	1 ____	0 ____

Sub Total _____

Gap filling or supplementary support for the developmentally disabled.

Information targets

Feasible? 2 ____ 1 ____ 0 ____
Worthwhile? 2 ____ 1 ____ 0 ____

Changes sought in target

Feasible? 2 ____ 1 ____ 0 ____
Worthwhile? 2 ____ 1 ____ 0 ____

Project resources

Feasible? 2 ____ 1 ____ 0 ____
Within Budget Limitation? 2 ____ 1 ____ 0 ____

Sub Total _____

Short term training of actual or potential consumers and providers.

Information targets

Feasible? 2 ____ 1 ____ 0 ____
Worthwhile? 2 ____ 1 ____ 0 ____

Changes sought in target

Feasible? 2 ____ 1 ____ 0 ____
Worthwhile? 2 ____ 1 ____ 0 ____

Project resources

Feasible? 2 ____ 1 ____ 0 ____
Within Budget Limitation? 2 ____ 1 ____ 0 ____

Sub Total _____

Utilization of program by urban or rural poor.

Information targets

Feasible?	2 ____	1 ____	0 ____
Worthwhile?	2 ____	1 ____	0 ____

Changes sought in target

Feasible?	2 ____	1 ____	0 ____
Worthwhile?	2 ____	1 ____	0 ____

Project resources

Feasible?	2 ____	1 ____	0 ____
Within Budget Limitation?	2 ____	1 ____	0 ____

Sub Total _____

THIRD PARTY EVALUATION OF PROPOSED PROJECT PLAN

TOTAL SCORE ____

Please rate the total Project Plan utilizing the dimensions and descriptors provided. Scores should be given based on the following scale:

5 - The Project Plan clearly falls within the desired criteria and represents a model document.

4 -

3 - The Project Plan falls within the desired criteria.

2 -

1 - The Project Plan has two or more inconsistencies which do not meet the desired criteria.

Place the rating in the space provided by each item.

____ A. Priorities of 1974 State Plan: The overall extent to which proposal addresses itself to stated goals and objectives in the 1974 State Plan. (See Planning for Evaluation, Document B).

____ B. Feasibility: The degree to which the proposal itself actually is
1) designed to meet its own stated goal or objective;
2) the likelihood of accomplishing what is proposed;
3) practicality in terms of budget request;
4) financial and other resources of applicant relative to continuation of project beyond the initial funding period.

____ C. Coordination: The degree to which
1) the proposal provides for increased integration and coordination of service;
2) extent to which definite agreements for interagency cooperation are provided;
3) degree to which the proposal provides a basis for increased interagency cooperation;
4) relationship of proposed program to a regional network of coordinated services for the developmentally disabled;
5) how the proposal conforms to long-range plans to improve availability of service.

___ D. Efficiency:
1) Adequacy of project design in accommodating to identifiable needs in area of State to be served;
2) the extent to which it capitalizes on existing and possibly under-utilized resources in the area;
3) the degree to which the proposal closes existing "gaps" in service;
4) the possibility of other more efficient ways of achieving the same goals through alternate means;
5) the availability of alternate and possibly more suitable State or federal funds to achieve purposes of proposal.

___ E. Accessibility: The degree to which the proposal incorporates mechanisms
1) to inform people as to existence and availability of service;
2) extent to which the proposed service is free of restrictions due to age, disability or other factors;
3) the degree to which the proposal considers location of facility and transportation so as to increase accessibility.

___ F. New or Improved Methods: The proposal's potential
1) as pilot or demonstration project dealing with new or improved methods of rendering service;
2) the likelihood that the proposal should serve as a model for similar service in another location.

___ G. Continuity: Priority will be given to the renewal of projects already funded under P. L. 91-517. Any project funded under a multi-year proposal will be evaluated in terms of fulfilling its stated objectives and in terms of its conformity to the Council's priorities.

DIVISION OF MENTAL RETARDATION
169 West Hanover Street
Trenton, New Jersey 08625

FY 1974 DEVELOPMENTAL DISABILITIES PROJECT GRANTS

AGENCY EVALUATION

This material is for the use of the Mental Retardation Agency staff during the review of the responses to the letter of intent and to the grant application. The agency evaluation of capacity and summary ratings should be used in conjunction with the ratings of third party evaluators.

GUIDELINES FOR REVIEW OF LETTERS OF INTENT

The review of the letters of intent need not be very comprehensive. The purpose of this phase is simply to be sure that the goals of the organizations' proposals are in line with the goals of the state plan.

On the day following the deadline for receipt of letters of intent the DD Executive and the grant review specialist from the State Agency should meet and go over the letters. The letters should first be sorted into groups according to the state goal to which the project is aimed. Each letter should be given a rating of poor, fair, or excellent on its potential contribution to the state goal.

If the goal of a proposed project is not in line with the state plan, a letter should be sent to the organization explaining that only projects aimed at the goals in the State Plan are being considered. If there are a large number of letters related to a particular goal, a letter should be written to the organizations with letters rated poor suggesting that they consider shifting toward a goal that does not have many proposed projects. Other organizations should be sent letters stating that their letters of intent have been received and that an application kit and guidelines for proposal writing are being forwarded under separate cover.

The organizations which need to change their letters of intent should be notified immediately and given two weeks to revise the letters of intent and return them to the Agency. On the day following the deadline for receipt of revised letters of intent, these letters should be reviewed. Those falling within the intent of the State Plan should be sent a cover letter with the application kit and guidelines for proposal writing. Those not directed toward the state goals should be sent a letter explaining that projects were not being considered if they did not address one of the priorities set forth in the State Plan.

TECHNICAL REQUIREMENTS CHECKLIST

Complete the following form by simply checking either yes or no for each of the following statements.

YES	NO	
___	___	1. Letter of Intent has been accepted.
___	___	2. Budget forms are properly completed.
___	___	3. Budget is within guidelines set by agency or the organization has been granted an exception.
___	___	4. Budget justifications have been made.
___	___	5. Vitae for professional personnel are included.
___	___	6. Project Summary is complete.
___	___	7. Proposed Project Contribution to Priorities section is complete.
___	___	8. Project Plan section is in proper format and is complete -- including costs.
___	___	9. Assurances have been completed and signed.

If any of the statements were marked "NO" then a call should be made to the organization submitting the proposal stating that the proposals are being returned immediately. The problem should be spelled out to the organization and instructions should be given to revise the proposal and return it within 10 days. (See sample letter).

If the statements were all accurate a letter should be sent stating that the proposal is under consideration (see sample letter). The proposal is now ready for rating by the consultants.

EVALUATION OF PROPOSED PROJECT'S GOAL

TOTAL SCORE _____

Value of the goal statement should be completed in the following manner.

A. ____ Value of goal is based on state wide priorities. When a project's goal is also the number one goal of the state plan, it is assigned a value of 7, number two, a value of 6, ... number seven, a value of 1.

B. ____ When a project goal is the number one goal for the region in which the project will reside, it is assigned a value of 7, number two, a value of 6, . . . , number seven, a value of 1.

C. ____ Based on information from the state agency, a project proposal will be given a weight according to its region's degree of designated need. If a project is to be located in Region IV, the goal score should be multiplied by 1.4,, Region I scores by 1.3, Region III by 1.2 and Region II by 1.1.

Multiply A X B X C for Total Value of Goal.

Total Value of Goal is _____.

To further clarify this procedure, the following example is offered.

State Value of Goal "Community Centered Semi-independent Living Arrangements" is 5, which is multiplied by its Region IV value which is 2, and by the weight for being in Region IV which is 1.4. The result if a toal value for the goal of 14.

If the same goal had been for a project in Region III, the computation would have been 5 X 6 (Regional value) X 1.2 (Regional weight) for a total value of the goal of 36.

AGENCY EVALUATION OF PROPOSALS FOR ORGANIZATIONAL CAPACITY

The Agency will review the proposals in terms of the capacity of the requesting organization to carry out the proposed project successfully. The following items should be rated using five, three, or zero depending on the degree to which the organization meets the statement.

5 - The organization clearly indicates the capacity to fulfill the need expressed in this statement.

3 - The organization indicates the potential to the need expressed in this statement.

0 - The organization may not be able to meet the need expressed in this statement.

Rating

____ 1. The organization is an appropriate organization to conduct the project.

____ 2. The board of directors (or its equivalent) shows an interest in completing the project.

____ 3. The organization has matching funds available.

____ 4. The organization has a history of completing projects successfully.

____ 5. The organization has adequate financial controls in operation.

____ 6. The organization has the authority to carry out the project.

____ 7. The organization interacts regularly with other organizations in the region and state.

____ 8. The vitae of persons to be involved in the project reflect the ability to complete the project successfully.

____ 9. The human and civil rights compliance forms are completed properly and will be adhered to by the organization.

____ 10. The financial interest disclosure form was completed properly and indicates no conflict of interest.

____ 11. The non-duplication of effort section was completed properly and there do not appear to be any problems in this area.

___12. The proof of non-profit status was completed accurately.

_____ Sub Total of Ratings

Multiply sub total by 3 to get total

_____ Total Rating of Agency Evaluation

SUMMATION OF ALL RATING

_____ Total Rating for Goal (Range 68.6 - 1.1)

_____ Total Rating for Evaluation of Contribution to Priorities (Range 72 - 0)

_____ Total Rating of Third Party Evaluation of Plan (Range 105 - 21)

_____ Total Agency Evaluation (Range 180 - 0)

_____ Total Evaluation Score for Proposal (Range 425.6 - 22.1)

MANAGEMENT REVIEW OF DEVELOPMENT DISABILITIES PROJECTS

Reviewer _____

Date _____

PROJECT TITLE: _____ DD FUNDS: _____

SPONSORING AGENCY: _____ OTHER FUNDS: _____

LOCATION: _____

Street Address

_____

City State Zip Code

SECTION I - Directions: Check the position that best represents the degree to which you believe each statement describes the project. If you wish to make a clarifying comment, feel free to do so in the space under the applicable statement. Comments might include the bases for judgments where they will lend clarification.

	Low				High
1. OBJECTIVES	1	2	3	4	5
1 a. Current direction of the project is consistent with stated objectives.					
1 b. Project staff and clients who are involved with the project are aware of the objectives of the project.					
1 c. Existing policies and practices in the project are conducive to accomplishment of the objectives.					
2. STRATEGIES					
2 a. Project activities are appropriate for meeting stated objectives.					
2 b. It appears, at present, that reasonable progress is being made toward meeting objectives of the project.					

	Low 1	2	3	4	High 5
3. DISSEMINATION					
3 a. Dissemination of information about the project is appropriate and adequate. (Consider the public, the parent agency and other agencies for which the project outcomes might be useful.)					
3 b. There are adequate safeguards against possible negative effects of the program on clients. (Consider over-exposure to visitors, subjection to questionable activities, disruption of other vital activity, etc.)					
4. RESOURCES					
4 a. Physical resources are appropriate and adequate for achievement of project objectives.					
4 b. Human resources are numerically adequate for the achievement of objectives. (Consider both regular staff and possible outside consultants.)					
4 c. Project personnel have qualities essential to the success of the project. (Consider open-mindedness, creativity, specialized knowledge, competence, administrative ability, communication skills, etc.)					
5. FINANCE					
5 a. The budget is appropriate for current operation of the project.					
5 b. There is evidence of good administrative leadership practice in: Leadership _____ Supervision _____ Fiscal Management _____					

	Low 1	2	3	4	High 5
6. ASSIMILATION					
6 a. Provisions are being made for integration of successful project activities into other program(s).					
6 b. The parent agency and administrative staff are commited to support of successful project activities after federal funding ends.					
7. EVALUATION					
7 a. Evaluation practices being followed and measuring techniques in current use are appropriate for measuring the achievement of objectives.					
7 b. To what extent are evaluation reports utilized in Management decision-making? (Consider recommendation follow-up -- objective and stratggy revision -- staff development -- etc.)					

SECTION II - Directions: The following is the narrative portion of the Management Review report. Please respond fully to each item using additional sheets of paper as needed. Be as objectives as possible and cite specific areas where good and poor practices are taking place.

1. What are the strong points of this project?
2. What are weaknesses of this project?
3. What suggestions would you give for improvement of the project?

Division of Mental Retardation
169 West Hanover Street
Trenton, New Jersey 08625

FY 1974 Developmental Disabilities Project Grants

Project Year End Report

This report is to be completed by each project staff and submitted to the Division of Mental Retardation.

BASIC INFORMATION

Name of Project: _____

Project Director: _____

Address: _____

_____

County in which project is located: _____

Telephone: _____

Fiscal Agent for the project: _____

Report for the year of: _____

PART I - DESCRIPTIVE DATA

A. PROGRAM INFORMATION

1. Briefly characterize the population served in terms of urban, rural, poverty, special cultural organizations, etc.

_____

_____

_____

2. List below the number of and percentage of your clients (actually served) by race or national origin:

CLIENTS	NUMBER	PERCENTAGE
Negro		
Oriental		
Mexican-American		
American Caucasian		
Other (list):		
_____		
_____		
TOTAL		

3. Does your program operate all year long? yes _____ no _____

If no, how long does it operate? from _____ to _____

4. Do you operate a half day program, a full day program, or some other schedule?

half day _____ full day _____

other (explain) _____

_____

_____

5. Does your project have any funding sources besides the Division of Mental Retardation?

yes _____ no _____

If yes, who, for what amount and for what purpose?

WHO	AMOUNT	PURPOSE

B. FISCAL AGENCY INFORMATION

1. What are some other projects operating within your fiscal agency?

_____

_____

_____

_____

_____

2. How does your project interface with the other projects in your agency?

_____

_____

_____

_____

_____

3. Describe efforts to integrate the project into the ongoing activities of the agency.

_____

_____

_____

_____

_____

4. Who is the director of your fiscal agency?

Name _____

Address _____

_____

_____

Telephone _____

C. INFORMATION ON OTHER COMMUNITY AGENCIES

1. List the community agencies and groups with whom your project relates frequently and for what purposes.

_____

_____

_____

_____

_____

_____

2. Do you refer your clients to other agencies for services?

yes _____ no _____

If yes, please answer the following:

a. What are your most successful referral sources for clients?

_____

_____

_____

_____

b. What are your least successful referral sources for clients?

_____

_____

_____

_____

3. Summarize activities you have used to disseminate information about your project to appropriate audiences.

_____

_____

_____

_____

*** READ ITEM EXPLANATION BEFORE FILLING OUT FORM

ANALYSIS OF SERVICES PROVIDED

1. Agency Name:

2. Address: Street Town Zip Code

	Counseling	Day-Care	Diagnosis Domiciliary Care	Education	Evaluation	Follow-Along Information & Referral	Treatment	Protective	Recreation Sheltered Employment	Special Living	Training	Transportation	Personal Care	Other	TOTAL
3. Services which can be provided															
4. Services which are provided															
5. # of clients served in FY 74															
6. Present client capacity															
7. Projected client capacity by FY 75															

8. Disabilities which can be served:

Mental Retardation: mild moderate severe
Cerebral Palsy: mild moderate severe
Epilepsy:

Type: _____
Seizure Control: excellent good fair poor

Other: _____

_____

9. Project staff

	# FULL TIME	PART TIME	COST FOR YEAR	% OF TOTAL BUDGET
ADMINISTRATIVE STAFF				
PROFESSIONAL STAFF				
PARAPROFESSIONAL STAFF				
OTHER STAFF				
VOLUNTEERS				
TOTAL				

1. Counseling Service-provision of professional guidance to assist the D.D. individual and family to understand their capacities and limitations. To set goals (short and long range) including vocational, and to solve problems interfering with the D.D. individuals participation in needed services.
2. Day Care Services-comprehensive activities providing personal care and other services to D.D. of all ages outside the home during the day. Include a variety of creative, social, physical, and learning activities organized as developmental services for children or activity programs for adults. All activities are based on adequate evaluation.
3. Diagnostic Services-provide coordinated services to identify a D.D, its cause, and determine the extent that normal daily activities might be limited.
4. Domiciliary Care Services-provision of living quarters, personal care, and supervision for those needing 24-hour-a-day service. This service may be provided in nursing homes, foster homes, and other residential facilities.
5. Education Services-provision of a structured learning experience to DD individuals (not eligible for public school), based on appropriate evaluations of each individual. Designed to develop knowledge and skills and their application to daily living.
6. Evaluation Services-the total evaluation of the D.D. individual and his family to determine: (1) how to remove/minimize the disability, (2) determine services, (3) set realistic service objectives, and (4) set up individual programs.
7. Follow-Along-Services-establishment and maintenance of a counseling relationship on a life-long basis with D.D. individuals and families. The purpose of assuring that anticipated changes in needs are recognized and met.
8. Information and Referral Services-provision of an up-to-date listing of appropriate resources from which a professional can select the best resources for the D.D. and his family. It is important to have a professional person between the D.D. individual and the I & R Service - so counseling service may be advisable in conjunction with I & R. The I & R Service can also develop public information activities with regard to the problems of the developmentally disabled.
9. Personal Care Services-designed to maintain health and well-being, including the provision of food, shelter, and clothing required to prevent regression or complications in connection with their disability. Must be accompanied by one or more other services.
10. Protective and Other Services-a system of continuing legal, social and other services to assist those unable to manage their own resources or protect themselves from neglect or exploitation.
11. Recreation Services-provision of activities designed to: (1) meet individual therapeutic needs in individual self-expression, social interaction and entertainment, (2) develop skills and interests for enjoyable and constructive use of leisure time, and (3) improve the general well-being of the D.D. individual.
12. Sheltered Employment Services-provision of activities (work evaluation, work adjustment, occupational skill training and paid employment)
13. Special Living-Arrangement Services-provision of living quarters for D.D. persons needing supervision. Must include at least counseling and leisure time activities. These services are for those D.D. persons that can leave their residence for work, recreation, etc. They may not be heavily dependent on Personal or Domiciliary Care.

14. Training Services-instruction in formal and informal activities to D.D. of all ages to (1) develop skills in daily living activities (self-help motor, and communication, for gaining skills (occupational and pre-vocational).
15. Transportation-provision of travel and related costs involved in transporting the D.D. individuals and their families to and from service locations. May include delivery (raw materials) and pick up (finished products) of home bound industries.
16. Treatment Services-provision of coordinated treatments to halt or control processes that contribute to D.D. Many medical, psychological, physical and occupational treatments, as well as others, are included.

PART II - EVALUATIVE DATA

A. Status of objectives and evaluative procedures

1. Are the objectives stated in the proposal still appropriate?

yes _____ no _____

If no, explain in detail below or on separate sheet.

_____

_____

_____

_____

2. Have you added or deleted any objectives since the proposal was approved?

yes _____ no _____

Explain.

_____

_____

_____

_____

3. Are the evaluative procedures adequate for measuring progress toward meeting the objectives? Explain.

_____

_____

_____

_____

_____

B. Evaluation of Progress Toward Meeting Objectives.

1. Using the project plan which was developed as part of the project proposal accepted by the Division of Mental Retardation, discuss the progress toward meeting each of the objectives specified in the plan. Discuss progress for each objective giving the results of the evaluation procedure(s) specified and any additional evaluation results applicable. The discussion of each objective should be short - approximately 75-100 words.

2. Prepare a one page summary of the evaluation information presented above and include any other significant evaluative data pertaining to the project (unanticipated outcomes - both positive and negative).

C. Cost Effectiveness

In your proposal you estimated the cost for meeting each objective. Please analyze your expenditures and determine as nearly as possible the actual cost of your attempts to meet each objective. Be sure to include all expenses (personnel, supplies, equipment, and indirect costs) for each objective. Discuss briefly the relationship between the cost calculated above and the progress toward meeting the objective as described in section B1 above for each objective of the project.